

## **LEGISLATIVE BRANCH APPROPRIATIONS FOR FISCAL YEAR 2008**

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**FRIDAY, MARCH 30, 2007**

U.S. SENATE,  
SUBCOMMITTEE OF THE COMMITTEE ON APPROPRIATIONS,  
*Washington, DC.*

The subcommittee met at 10:10 a.m., in room SD-138, Dirksen Senate Office Building, Hon. Mary L. Landrieu (chairman) presiding.

Present: Senators Landrieu and Allard.

U.S. SENATE

SERGEANT AT ARMS AND DOORKEEPER

**STATEMENT OF HON. TERRANCE W. GAINER, SENATE SERGEANT AT  
ARMS; CHAIRMAN, U.S. CAPITOL POLICE BOARD**

**ACCOMPANIED BY:**

**DREW WILLISON, DEPUTY SERGEANT AT ARMS  
CARL HOECKER, INSPECTOR GENERAL**

STATEMENT OF SENATOR MARY L. LANDRIEU

Senator LANDRIEU. Good morning. Our subcommittee will come to order. We have a routine but important subcommittee meeting this morning to review the budgets for the Senate Sergeant at Arms, the U.S. Capitol Police Board and the Capitol Police. We welcome our witnesses to the subcommittee and I thank Senator Allard for joining us. I look forward to working with Senator Allard on this subcommittee, as he chaired it for several years, and is very interested in the subjects that we will be discussing this morning. So let me welcome you all.

We meet this morning to take testimony on the fiscal year 2008 budget request, as I said, for the Sergeant at Arms and Doorkeeper of the Senate, which is his official name and the United States Capitol Police.

I would like to welcome Terry Gainer who joins us today to testify on behalf of the budget. I'd also like to acknowledge and welcome his Deputy Sergeant at Arms, Drew Willison. I had the pleasure of working with Drew previously when he was the clerk of the Energy and Water Subcommittee and I always found him to be direct and efficient and I appreciate his work here.

Our second witness is Phillip Morse, Chief of the U.S. Capitol Police. I welcome you Chief. Thank you for coming to my office and visiting with me earlier this week. This is a fairly new position for

you and I believe you were sworn in 5 months ago today. So you're getting your head and hands around the challenges before us. I look forward to hearing your vision and your priorities for the Department.

The 2008 budget request for the Sergeant at Arms totals \$227 million, which is \$28 million or 14 percent above the current year. This request includes funding for 19 additional full-time employees, which appears to be needed largely to fill technology-related positions. The increase in your expense budget of nearly 17 percent also seems to be technologically driven. Several of my questions will address this particular increase.

The Capitol Police budget request for 2008 totals \$299 million, which is \$43.5 million or 17 percent above the current year. This request includes funding for 20 additional civilian employees and supports the current force of 1,671 sworn officers, which is quite a large force.

I hope you will update the subcommittee on the need for these extra civilian positions, Chief. While your salary budget shows an increase of 9 percent, your expense request has increased by over 60 percent. This is a pretty substantial increase and I look forward to discussing this with you and the priorities you have outlined in this area.

As I've said in previous hearings and it bears repeating that I doubt the subcommittee will have the resources available to provide double digit increases for all of our entities. Therefore, at some point in the near future we're going to have to have some serious discussions with you and your staff about what are the most urgent priorities as we try to continue our push for safety, additional safety in the Capitol, but recognizing there are some budget constraints here.

In closing, I'd like to acknowledge all the good work by the employees of your staffs. I know they are working hard to get some of our things in order and I'm sure you're both very proud of what they are doing to help you. So I'd like to now turn to my friend and ranking member Senator Allard for his opening remarks.

#### STATEMENT OF SENATOR WAYNE ALLARD

Senator ALLARD. Thank you, Madam Chairman and I look forward to working with you on this budget. I thank you for convening this hearing. I appreciate that. I am pleased to see Sergeant at Arms Terry Gainer and Chief Phil Morse this morning and congratulations to both of you on your new positions. I look forward to working with both of you. I appreciate the work you and the men and women who work for you—the work that they do—the officers who protect the Capitol complex, the Sergeant at Arms employees who ensure our mail is safe, the folks who develop emergency plans, the doorkeepers, the phone operators, technology specialists and many others who I haven't mentioned who ensure everything runs smoothly in the Senate. I'm one Member of the Senate who really appreciates all your efforts.

This morning I will have a number of questions including one about the Sergeant at Arms request for additional staffing. Madam Chairman, I've talked about this in the Sergeant at Arms hearings

in the past 2 years. If this year's request is approved, the Sergeant at Arms will have grown by 25 percent since 2001.

With respect to the Capitol Police, I am pleased that we now have a permanent Chief on board as well as an inspector general. There are many challenges ahead for the Chief including the need to get the administrative side of the House in order, as well as control overtime spending and ensure that officers are deployed effectively and according to a rigorous threat assessment.

Several studies and reviews of Capitol Police officer staffing have been undertaken or are underway to ensure appropriate protocols for staffing. Unfortunately, there does not seem to be a lot of coordination amongst these various staffing analyses. Unfortunately, we need to see a firm plan for appropriate risk-based staffing of posts and the most effective use of additional duty hours. I would like to see this brought to closure over the next couple of months.

Let me also say that we were shocked last September when a deranged intruder managed to breach several checkpoints and gain access to the Capitol. This was a wake-up call. I look to Capitol Police leadership and we want to be confident that such an occurrence could never happen again.

I would note that the Capitol Police are requesting a very large increase in civilian staffing, 30 additional employees. This would result in more than a 100-percent increase in civilian staffing since 2001. With that in mind, there should be no reason that very serious management problems identified by the Government Accountability Office (GAO) could not be resolved.

I have been working with a lot of the other agencies on the executive branch side about bringing accountability to their budget process. As you may be aware of, there is a process we apply to the executive branch that we do not apply to legislative branch agencies. I'm one that feels that what we require of the rest of Government, we ought to require of the legislative branch.

So this GAO report that has come out has me concerned. I think there are some very serious statements in this GAO report about financial management operations and what I see, Madam Chairman, is that we need to emphasize particularly to the Chief of Police and those that are under him, the importance of putting together an accountable budget, one that identifies goals and objectives that are measurable and then tie the budget into those.

I noticed in the last several years, I've been authorizing a lot of reprogramming of dollars. What that tells me is, we're not doing a very good job of programming the money. Chief Morse, this is a problem you've inherited. I hope you can begin to really focus on what it is going to take and if you have to work with GAO or Mr. Gainer with his past experience in the Department, to improve accountability and financial management.

You can expect me to be diligent in asking for accountability on some of these issues. I want you to understand that it is because I feel we have to do a little better job in the legislative branch of holding our own agencies accountable. Thank you, Madam Chairman.

Senator LANDRIEU. Thank you and let me say to my ranking member that I share those goals and objectives and I don't think the legislative branch should be held out in any other standard

than we hold the other agencies that we have jurisdiction over. So I look forward to working with you in a cooperative way to get to the goals and objectives that we can have the best police force and best security for the Capitol, not just for those of us that work here and call this our workplace, but most importantly, for the millions of people that visit here and call this place the People's House. It is very important that we keep that in mind. So with that, Mr. Gainer would you like to begin your testimony?

STATEMENT OF TERRANCE W. GAINER

Mr. GAINER. Thank you, Madam Chair and members of the subcommittee, thank you for allowing me to testify here today, and I ask to submit for the record my written testimony. I would also like to make a few brief comments about the efforts of the men and women of the Sergeant at Arms Office and our budget and then quickly segue into my role as Chairman of the Police Board.

This marks the 12th time I have presented a budget for an organization for which I have been responsible—seven times as the director of the Illinois State Police, four times as the Chief of the Capitol Police and now as the new Senate Sergeant at Arms.

Each time increases were requested, each time I struggled with my own team to request only what was needed to be successful at our core business. While need might be in the eye of the beholder I have not employed the tactic where one sets a high mark, figuring that the give and take of the budget process yields a mutually agreeable number which leaves all participants satisfied.

At the same time, I have never received all that I requested, nor have I ever been able to submit a request for a flat budget. In all cases, however, in all those organizations, the operations of the organization continue to be professional.

On several occasions, I have begun a budget year knowing the organization could not be as cutting edge as possible, for projects might take longer, service might not be as perfect as professionals expect, yet the organizations always survive.

This Sergeant at Arms budget regretfully is no different than those I have presented for other organizations. We are requesting more, as you've indicated, practically 14 percent more, to nearly \$227 million. The personnel increases, by most measures, are modest. We respectfully request 19 additional FTEs. In total, a 13.9-percent increase is sizable. I am fully aware of this as I sit here today with a Chief who is also requesting a considerable increase, and we are not the only ones asking you for more. I wish it weren't so.

Madam Chair and members of this subcommittee, the men and women of the Senate Sergeant at Arms Office and the wonderful team at the United States Capitol Police are here for one single purpose. We keep the doors of this powerful institution open for business, facilitating the ability of the people you serve to come and go freely.

If we are not successful, it would be difficult for the Senate to be successful. Including telephones, computers, pages, doorkeepers, the media galleries, parking, the photo studio, technology development, the post office, police operations, emergency preparedness, recording studio, EAP, environmental services, hair care, nation-

wide support of your State offices, the cabinet shop, information technology, education and the training of your staff, services to your families, printing and graphics and direct mail, the help desk and the wonderful professionals at the appointment desk, I think we do it all. The team does it right 24 hours a day, 7 days a week, and we like our work.

Our strategic plan, completed by Bill Pickle, my predecessor, just months ago is straightforward in its vision: exceptional public service. Our mission is straightforward: operational, security and protocol support services to the United States Senate.

In concluding this portion of my remarks, let me say thank you again for the support of the subcommittee. Working with your staff is helpful and productive. Our partnership with the Secretary of the Senate and the Architect of the Capitol (AOC) are essential to achieving excellence.

Now if I can just move quickly to the second half of my brief remarks, putting on the hat as Chairman of the Police Board. Let me share just a few thoughts. The Board works closely with Chief Morse and his Department in assessing security risks and determining appropriate approaches for avoidance or mitigation. The addition of an inspector general presents a unique opportunity for the Department and the Board to identify the best business and security practices while auditing the results. But make no mistake: this Capitol continues to be a prime target of terrorists. We need to be steps ahead of the offender. One step ahead is not good enough. Your United States Capitol Police is a professional organization fully capable of balancing freedom of access and security, but this is no small task and the challenges are many.

The cost of technology and of its maintenance is high. The stress of constant diligence is real. The mission requirements are evolving. The United States Capitol Police have prepared a budget request that reflects the needs of the Department in meeting critical security requirements as they are currently understood and I would emphasize as they are currently understood. They have been judicious in the initiatives included in the budget. Chief Morse and his team have the full support of the Capitol Police Board and their efforts, especially in determining the number of personnel needed, evaluating threats, and maximizing the use of technology.

Please keep in mind that as the threat environment changes or additional mission requirements are added the Department will in all probability need additional personnel along with a concomitant associated cost. For instance, the opening of the Capitol Visitor Center (CVC) is an additional responsibility.

From the police perspective, this means more doors to cover and people to protect. Longer hours of operation for that facility, more visitors, or the opening of doors, which are currently closed and locked, have the potential to be unfunded mandates. We need to weigh carefully the requests as they unfold for the year. The mutual efforts of our organizations, with the guidance and oversight of the Senate committees, will provide the work environment the Senate needs to make the important, tough decisions for America. Thank you and I look forward to trying to answer your questions.

Senator LANDRIEU. Thank you very much.

[The statements follow:]

## PREPARED STATEMENT OF THE HONORABLE TERRANCE W. GAINER

## INTRODUCTION

Madam Chairman and Members of the Subcommittee, thank you for inviting me to testify before you today. I am pleased to report on the progress the Office of the Sergeant at Arms (SAA) has made over the past year and our plans to enhance our contributions to the Senate in the coming year.

For fiscal year 2008, the Sergeant at Arms respectfully requests a total budget of \$226,893,000, an increase of \$27,642,000 (or 13.9 percent) over the fiscal year 2007 budget. This request will allow us to enhance service to the Senate community by supporting and improving the Senate's technology infrastructure and to ensure a safe and secure environment. Appendix A, accompanying this testimony, elaborates on the specific components of our fiscal year 2008 budget request.

In developing this budget and our operating plans, we are guided by three priorities: (1) ensuring the United States Senate is as secure and prepared for an emergency as possible; (2) providing the Senate outstanding service and support, including the enhanced use of technology; and (3) delivering exceptional customer service to the Senate.

This year I am pleased to highlight some of this Office's activities including the publication of the "United States Senate Sergeant at Arms Strategic Plan". Our accomplishments in the areas of security and preparedness, information technology, and operations are also impressive. We are preparing for next year by planning for the major events we know will come and by ensuring that the Office of the Sergeant at Arms is an agile organization that can adjust to the unexpected.

An outstanding senior management team leads the efforts of the dedicated Sergeant at Arms staff. Drew Willison serves as my Deputy, and he and I are joined by Administrative Assistant Rick Edwards, Republican Liaison Lynne Halb Brooks, General Counsel Dan Strodel, Assistant Sergeant at Arms for Security and Emergency Preparedness Chuck Kaylor, Assistant Sergeant at Arms for Police Operations Bret Swanson, Assistant Sergeant at Arms and Chief Information Officer Greg Hanson, and Assistant Sergeant at Arms for Operations Esther Gordon. The many accomplishments set forth in this testimony would not have been possible without this team's leadership and commitment.

The Office of the Sergeant at Arms also works with other organizations that support the Senate. I would like to take this opportunity to mention how important their contributions have been in helping us achieve our objectives. In particular, we work regularly with the Secretary of the Senate, the Architect of the Capitol, the Office of the Attending Physician, and the United States Capitol Police (USCP). When appropriate, we coordinate our efforts with the U.S. House of Representatives and the agencies of the Executive Branch. I am impressed by the people with whom we work, and pleased with the quality of the relationships we have built together.

This is my first year testifying before this Committee as Sergeant at Arms and I would be remiss if I did not mention how proud I am of the men and women with whom I work. The employees of the Office of the Sergeant at Arms are among the most committed and creative in government. We hope to build on the success this organization has experienced in recent years.

None of our efforts would be accomplished, though, without the guidance of this Committee and the Committee on Rules and Administration. Thank you for the support you consistently demonstrate as we work to serve the Senate.

*Challenges of the Past Year**Funeral of Former President Ford*

On Saturday, December 30, 2006, the remains of former President Gerald R. Ford arrived on the East Front of the Capitol in a formal military procession. The United States Capitol was the site of the second State Funeral since 1973 and the second in the past two and a half years.

My office coordinated preparations for this national event with many internal and external organizations. This event could not have been accomplished without the extraordinary efforts of many Sergeant at Arms employees who were tireless in their dedication to meeting the Senate community's needs. Many of our employees canceled their holiday and year-end leave plans to support this historic event.

Capitol Facilities staff cleaned and set up the holding rooms, the Photo and Recording Studios captured the event for viewing and historical purposes, and other staff provided behind-the-scenes support. Our media galleries worked tirelessly to support the media needs.

We also focused on protocol and security throughout the week. My Executive Office staff coordinated attendance at the service in the Capitol Rotunda with Senate

offices, and they assisted the Senators and officials who participated in the program. In addition, we were responsible for coordinating the official Senate delegation's attendance at the National Funeral Service, held at the Washington National Cathedral on January 2, 2007. My security team collaborated with the United States Capitol Police, the Secret Service, and other Federal agencies to ensure a secure environment, and we were a continuous presence in the Capitol Police Command Center. As a result of everyone's work, approximately 50,000 mourners were able to pay their respects to the former President in the Rotunda of the Capitol.

#### *Transition*

My Office facilitated the change to the new Congress by equipping, staffing, and running the Transition Office for newly elected Senators, coordinating the moves and setup of temporary office suites, and coordinating the moves and setup for permanent office space both for new Senators and Senators who chose to relocate. We installed equipment in the transition office space, and provided administrative and mail services, as well as Web sites, documents, and placement services to assist the newly elected Senators.

#### SECURITY AND PREPAREDNESS: PROTECTING THE SENATE AND PLANNING FOR THE UNKNOWN

In our security and preparedness programs, we work collaboratively with organizations across Capitol Hill to secure the Senate. We also rely upon Senate Leadership, this Committee, and the Committee on Rules and Administration for guidance and support.

While nearly six years have passed since 9/11 and the anthrax attacks, and although no major attack has occurred against us at home, the threat of attack remains. Not all hazards are man made, and our contingency plans can be implemented to respond to natural disasters as well. Over the past two years, Senate offices in Washington, D.C. and in the States have been impacted by local disruptions and natural disasters. The security and emergency programs that have been developed over the past six years have enabled the Senate and our supporting agencies to respond appropriately in each instance, ensuring the safety of staff and visitors and recovering operations as rapidly as possible. The ongoing improvement and appropriate expansion of our security and emergency plans and programs will continue to be a priority for the Sergeant at Arms.

On September 6, 2000, the Bipartisan Leadership for the 106th Congress directed the Capitol Police Board to develop and manage a program which would enable the Congress to fulfill its constitutional obligations in the event of a disaster-related incident. The Capitol Police Board was further directed to coordinate with Officers of the Senate and House to develop a comprehensive Legislative Branch emergency preparedness program. As a member of the Capitol Police Board and Chairman for 2007, the Senate Sergeant at Arms will continue to build on the accomplishments of previous Boards.

Our efforts to ensure that we can respond to emergencies and keep the Senate functioning under any circumstance have grown over the past years. To continue improvements in this area and better manage our security and preparedness programs, we have established seven strategic priorities to focus our efforts:

- Emergency Notifications and Communications.*—Provide effective communications systems, devices, and capabilities to support the Senate during any emergency.
- Accountability.*—Ensure accurate and timely accounting of Members, Senate staff, and visitors during an emergency.
- State Office Security and Preparedness.*—Develop and implement a comprehensive, all hazards state office security and preparedness program.
- Emergency Plans, Operations and Facilities.*—Continue emergency planning, emphasizing life-safety, continuity of operations, and programs to address the needs of individuals after a disaster.
- Training and Education.*—Continue a strong emergency preparedness training program.
- Exercises.*—Conduct a comprehensive exercise program to validate, rehearse and improve Senate readiness to act in the event of an emergency.
- Office Support.*—Provide responsive security services and customer support to Senate offices, committees, and support organizations.

#### *Emergency Notification and Communications*

Our emergency notification and communications initiatives ensure that we have effective communications systems, devices, and capabilities in place to support the Senate during an emergency. We have continued to improve our notification and

communications processes over the past year. We expanded the coverage of text alerts to include any PDA on any cellular or data service provider. We are currently integrating all notification systems into a single Web-based interface, allowing the Capitol Police to initiate voice and text messages to several thousand individuals in a matter of seconds. We have also installed a video-based alert system that will allow the Capitol Police to display emergency messages on the Senate cable TV network. Over 1,300 wireless annunciators are in place across the Senate, and the Capitol Police have completed the installation of a public address system that can broadcast into public areas throughout the Capitol, Senate Office Buildings, and outdoor assembly areas. Further, if the Senate is forced to relocate, we have the capability to video teleconference and broadcast between an emergency relocation site and other Legislative Branch and Executive Branch sites.

Looking forward, we intend to expand our telephonic and text-based notification capabilities to support office and staff requirements during emergencies. Additionally, our video teleconferencing capabilities will soon provide the ability to create "Anytime Anywhere" video conferences.

#### *Accountability*

Accountability of Members and staff remains an area of emphasis in all our emergency plans and evacuation drills. One of our major initiatives this year was to improve procedures for offices to report accountability information to the Capitol Police and the Sergeant at Arms quickly and accurately. Significant progress was made during 2006 to better achieve these goals.

In 2006, a BlackBerry-based accountability application was deployed, allowing Office Emergency Coordinators to account for staff remotely using their BlackBerry. This builds on the automated check-in system that was developed and fielded to Senate offices and committees in 2005. Both accountability methods are now operational and used during quarterly drills. The backbone for this capability, termed the Accountability and Emergency Roster System, or ALERTS, allows each office to manage staff rosters as well as to indicate who in the office is to receive email and telephonic alerts from the Senate's emergency notification system. A comprehensive instruction manual has been produced for use by Capitol Police and Office Emergency Coordinators. A total of 176 Senate staff members were trained on how to use ALERTS and Remote Check-in during in-office or classroom sessions. Our staff has also trained personnel in the Capitol Police Senate Division on the use of this system.

Personnel accountability is stressed in the Emergency Action Plan template that we have developed for use by all Senate offices. This template, offered to all offices, encourages the development of internal communications procedures during emergencies through a phone tree or emergency contact list. Offices are encouraged to establish and periodically practice these internal procedures for accounting for staff members, post emergency. To aid in this effort, we conduct Emergency Action Plan training classes with a special emphasis on staff accountability and stress the initiative during all Office Emergency Coordinator training. Once a quarter, our office conducts a remote accountability exercise with Senate Office Emergency Coordinators. During our most recent exercise, over 125 individuals logged in to provide office accountability, and we worked with twenty offices on training and configuration issues.

#### *State Office Security and Preparedness*

The Senate's State Office Preparedness Program consists of several elements. First is the Physical Security Enhancement Program. This program provides a security assessment of each state office, followed by physical security enhancements if the office desires to participate in the program. We have completed an initial physical security survey of all established state offices and the results of these on-site reviews were provided to each Member. In addition to the physical security enhancements, we have developed and are piloting a program that provides additional emergency preparedness and continuity of operations support to state offices.

Since the program's inception in 2002, we have conducted 538 state office security surveys and will conduct another 76 surveys of new and relocating offices for the 110th Congress over the coming months. We have completed security enhancements in 183 state offices of which 75 were completed in 2006. This past year we finalized an agreement with the Federal Protective Service and General Services Administration to streamline installation of security enhancements for Senate state offices located in federal buildings. We are currently working with 60 state offices in some stage of planning or approval. To date, members of our Office of Security and Emergency Preparedness have visited approximately 24 state offices where security enhancements have been installed or implemented. Staff from each of these offices has



expressed tremendous gratitude for the security enhancements and the personalized visit. In short, this is a successful program and we will continue our emphasis in this area.

Our State Office Preparedness Program combines our existing physical security enhancement program with additional emergency preparedness and continuity of operations planning (COOP) support. This level of support includes equipment and training and will mirror those programs that are currently offered to Member's Washington, D.C. offices. We have identified specific requirements to tailor the program to the individual state offices based on a needs analysis and risk assessment, and are piloting this program with 10 Member state offices across the United States starting in the spring of this year. If successful, we plan to offer this program to all Member state offices in 2008.

#### *Emergency Plans, Operations and Facilities*

Our emergency plans ensure that we attend to the safety of Senate Members and staff, as well as to the continuity of the Senate. It is the responsibility of each Member office and committee to have the requisite plans in place to guide their actions during any emergency event. I can report that every Member office completed and filed an Emergency Action Plan with our Office of Security and Emergency Preparedness during the 109th Congress. These are being updated by Member Offices now, and new Members have initiated plans. Every office within the SAA and Secretary of the Senate has a completed Continuity of Operations (COOP) plan, almost every Member office has a COOP Plan, and the SAA is working with every committee to ensure their respective continuity of operations plans are developed. Our staff provides training, guides, templates, assistance, and in-office consulting sessions to any office that requests it. Those offices that have updated plans are encouraged to maintain and exercise them.

We established working groups to identify and address all Senate emergency programs, plans, and requirements. Last year, we identified the need for post-event care and family assistance. Over the past year, we have continued to develop plans that provide critical services to affected families following a wide-spread event. In cooperation with the Senate's Employee Assistance Program, we have conducted training with a core group of employees to establish peer support teams. That training will expand this year.

Recognizing the Sergeant at Arms' responsibility to coordinate the actions of internal organizations, inform and support Senate offices, and effectively manage the resources within our purview during an emergency, the SAA has established an Emergency Operations Center (EOC) capability that pulls key functional area representatives together into a single operational area during an emergency. The SAA exercised this capability twice during 2006, upgraded to a web-based EOC management and information tracking application, WebEOC, and conducts quarterly training for internal functional representatives.

#### *Training and Education*

Training helps Senate staff know what to expect in an emergency, how to use the equipment we provide, and what protective actions they may take. We help office staff create continuity and emergency plans. We conduct training on all of our equipment including emergency equipment, emergency communication devices, and our accountability system. Our training program is coordinated through the Joint Office of Education and Training.

Training activities over the past year included 351 escape hood training sessions that were delivered to 5,132 staff members; nine chemical, biological, radiological, and explosives briefings for 125 staff; 20 office emergency coordinator basic and advanced training sessions reaching 130 staff. CPR and Automated External Defibrillator (AED) training is also taught by the Office of the Attending Physician. This training for 24 personnel monthly is typically oversubscribed.

Not everyone is able to attend training classes. To augment our training efforts, the SAA creates and distributes topic-specific brochures and guidance documents to further enhance Senate preparedness. These are distributed throughout the community and describe procedures, emergency equipment, and other useful instruction for emergencies. A number of the brochures were updated in 2006, and Protective Actions for Interns was added to this portfolio. This year the SAA developed and provided computer-based training options on our emergency equipment and emergency procedures to every office and any staff member with access to Webster. Our computer based training support to offices will continue to expand as new courses are developed and made available on-line.

### *Exercises*

Exercises ensure the Senate's plans are practiced and validated on a regular basis. Our comprehensive exercise program is structured to do just that. The Senate Sergeant at Arms' 2006 Exercise Program was diverse and productive. During the period, we conducted a series of eleven major exercise events in partnership with other Senate and Capitol Hill stakeholders to include the Capitol Police, Architect of the Capitol, Office of the Attending Physician, and the U.S. House of Representatives. Emergency Operations Center capabilities were exercised on five occasions, to include first-ever set up of our alternate locations. We established procedures for Leadership and Members, and conducted relevant training and exercises. Recently, we conducted an exercise related to the Senate Chamber that included the USCP, all Secretary and Sergeant at Arms Chamber staff, and the Party Secretaries' staffs. In February of 2007 we conducted a review of the Disaster Family Assistance plans to further identify and develop policy issues and operational requirements and procedures for this area. The highlight for the year was a two-day concurrent capabilities exercise where the setup of four key contingency facilities was accomplished nearly simultaneously. In past years, these facilities were exercised independently, and this year's exercise tested our Leadership and Member locations, an alternate Chamber, and the Sergeant at Arms and Secretary's Emergency Operations Center in one event. An interagency Joint Legislative Branch communications test for off-campus locations and an emergency transportation command and control exercise further rounded-out the exercises that were conducted. Our 2007 exercise program is equally aggressive and continues to ensure the Senate can conduct operations under any circumstance.

### *Office Support*

The Senate's emergency equipment ensemble for Senate offices continues to mature. Each office has received Emergency Supply Kits, uniquely tailored for the Senate community. Over 448 have been distributed and are being maintained by Senate offices. These kits are designed to be used during "shelter-in-place" events, but have the functionality to be used on a daily basis if needed. Additionally, 72 kits tailored for the Sergeant at Arms transportation fleet were developed and deployed in 2006.

Over 1,300 wireless emergency annunciators are deployed throughout Senate offices. These systems provide the Capitol Police with the ability to audibly notify offices and provide instructions during an emergency. Our Emergency Preparedness Office provides day-to-day troubleshooting support to offices. This has resulted in the installation of 90 additional wireless emergency annunciator units in various offices throughout the Senate. Our Office of Security and Emergency Preparedness responded to 197 annunciator trouble calls in 2006. In addition to daily troubleshooting support, we installed wireless emergency annunciators in the Russell Senate Office Building attic to ensure that all staff are alerted of evacuations and emergency situations.

In 2006, the Senate Sergeant at Arms completed lifecycle replacement of the Quick 2000 Escape Hoods with the new SCape CBRN30 Escape Hoods. Our program also added the Baby SCape Escape Hood for children under the age of three. We replaced over 20,000 escape hoods in Senate offices and in the public caches throughout the Senate. To address special locations and our mobility impaired evacuation procedures, almost 800 Victim Rescue Units that provide respiratory protection in a smoke filled environment have been issued to mobility impaired individuals and their buddy teams.

We will conduct an annual inventory and serviceability inspection of all emergency equipment items issued to Senate offices later this year.

We provide other office outreach and support through widely distributed publications and monthly informational notices to Office Emergency Coordinators. We also make extensive use of the Senate's intranet resources to support offices.

### *Mail Safety*

The anthrax and ricin attacks of past years necessitated new security measures, and our Office responded. We have worked collaboratively with this Committee, the Committee on Rules and Administration, our science advisors, the Capitol Police, United States Postal Service, the White House Office of Science and Technology Policy, and the Department of Homeland Security in developing safe and secure mail protocols.

All mail and packages addressed to the Senate are tested and delivered by Senate Post Office employees whether they come through the U.S. Postal Service or from other delivery services. We have outstanding processing protocols in place here at the Senate. The organizations that know the most about securing mail cite the Senate mail facility as among the best. We have been asked to demonstrate our proce-

dures and facilities for some of our allies and for other government agencies, including the Departments of Defense and Homeland Security. When they look for ways to improve their mail security, they visit our facility.

We have been good stewards of taxpayer dollars in the process. We processed volumes of mail similar to that of the House of Representatives and we accomplished it for approximately 40 percent of their cost. Last year, the Senate processed, tested, and delivered over 13,700,000 safe items to Senate offices, including over 9,600,000 pieces of U.S. Postal Service mail; over 3,900,000 pieces of internal mail that are routed within the Senate or to or from other government agencies; almost 70,000 packages; and over 136,000 courier items.

We continue to seek improvements in mail processing and have worked with this Committee in identifying avenues to reduce our costs. In April 2007, we will move our Alexandria letter mail processing activities into a newly constructed facility that will enhance the processing of Senate letters as well as perform the package testing that is currently being performed by a vendor. Bringing the processing of packages in-house will increase the security of the packages and will save the Senate over \$200,000 annually. This state-of-the-art facility will provide a safer and more secure work environment for our employees and is designed to serve the Senate's mail processing needs for decades.

We also worked with this Committee and the Committee on Rules and Administration to build one of the best facilities within the government to process time sensitive documents that are delivered to the Senate. This past August, we opened the Courier Acceptance Site to ensure all same day documents are x-rayed, opened, tested, and safe for delivery to Senate offices. The number of time sensitive documents addressed to Senate offices is significant. We processed over 136,000 courier items during 2006.

Since the anthrax attacks of 2001, our office has worked with the Department of Homeland Security, the United States Postal Service (USPS), and our science advisors in seeking avenues to improve the safety of the mail routed to Senate state offices and to Members' home addresses. USPS has installed detection units at mail processing plants throughout the United States. Virtually every letter is run through this equipment which is designed to detect certain contaminants, thereby providing a safety screen that did not exist in the past.

This year our Senate Post Office and our Office of Security and Emergency Preparedness worked collaboratively with our science advisors to develop and introduce the first device designed to provide Senate staff who work in state offices a level of protection when handling mail. To date, four Member state offices are participating in this program, and the feedback received from Senate staff has been favorable. Our plan is to expand this program to all state offices within the next six months.

#### *Office of Police Operations and Liaison*

##### *Security and Vulnerability Assessments*

The Senate Sergeant at Arms works closely and on a continuous basis with the Capitol Police, the Capitol Police Board, and security and law enforcement agencies that support us here on Capitol Hill. Collectively, we constantly scrutinize our security posture, searching for any vulnerabilities, and determining the most efficient ways to remediate any we find. During 2006, the Capitol Police Board requested and subsequently received a security assessment of the Capitol Complex performed by the United States Secret Service. We are reviewing this assessment and will take its recommendation into consideration as we fund and execute security enhancements for the Senate.

##### *Identification Badge Improvements*

In March of 2006, the Capitol Police Board established a task force to examine identification badge policies and procedures across the Congressional campus. The goal was to increase security, reduce fraud and system abuse, and achieve uniformity of identification processes and practices by adopting a standard identification system for use throughout the campus. As a result of the work performed by the task force, several security enhancements were added to the ID badges issued for the 110th Congress, including: designations on limitations on hours of access; larger photographs; a simpler text field to ease confusion experienced by police officers who must examine the cards; and standardization of badges issued to personnel of external agencies. The Task Force's work also set the foundation for future communication across the Congressional campus when implementing new identification policies and procedures.

*Foreign CODEL Support Program*

The Foreign CODEL support program was created to ensure that the unique needs and security requirements of Senators are met while they perform official travel outside the contiguous United States. Through a coordinated liaison effort between the SAA, USCP, and the Department of State, threat assessments and security reviews are conducted for official foreign travel performed by Senators. USCP officers are assigned as security liaison agents for CODEL trips that warrant security.

INFORMATION TECHNOLOGY—A STRATEGY FOR SECURITY AND CUSTOMER SERVICE

We continue to place special emphasis on leveraging technology to enhance security, emergency preparedness, service, and support for the United States Senate. Last year we issued the Senate's updated Information Technology Strategic Plan, "An IT Vision for Security, Customer Service and Teamwork at the United States Senate 2006–2008", and this year we are half-way through executing that plan. We have already accomplished some impressive results.

- Replication of all mission-critical systems at the Alternate Computing Facility (ACF) and successful execution of two complete failover tests for continuity of operations and continuity of government (COOP/COG).
- Raising the CIO's overall customer satisfaction rating to 87 percent.
- Completion and full operational capability of the Senate's first redundant security operations centers (SOC).
- Successful completion of requirements phase and procurement activity for the Senate Telecommunications Modernization Program (TMP).
- Completion of the Active Directory and Messaging Architecture (ADMA) project—the largest and most successful infrastructure project ever undertaken in the Senate to provide a state-of-the-art messaging infrastructure custom tailored to meet the security and privacy needs of individual offices.
- Completion of an award-winning wireless infrastructure to support cellular telephone, BlackBerry emergency communication devices, and wireless local area networks (LANs) across the Senate campus.
- Development of a new emergency communications system based on device-to-device communications and not reliant on any commercial cellular carrier. This system provides robust emergency communications while allowing Member offices to purchase cellular service from the carrier of their choice.

Our CIO is currently preparing the annual update of the Senate IT Strategic Plan which lays out our technology direction for the next two years. This new version updates the five strategic goals to enhance our customers' service experience and the Senate's security posture through:

- Supporting Senate continuity of operations plans (COOP) and continuity of government (COG) by deploying an information infrastructure that is flexible and agile enough to respond to adverse events.
- Continuing to reduce paper-based manual processes and moving business online.
- Continuously improving our customer care processes using feedback from our customers through performance metrics, customer satisfaction surveys, and service level achievement measurements.
- Access to mission-critical information anywhere, anytime, under any circumstances through continued development of alternate computing facilities, remote access technologies, and eliminating bottlenecks and potential failure points in the Senate's information infrastructure.
- Replacing the Senate's telephone switch with a new state-of-the-art switch and ancillary services based on Voice over Internet Protocol (VoIP) and convergence technologies.

Five strategic information technology goals, and their supporting objectives, drive our information technology programmatic and budgetary decisions. There are currently approximately 50 major projects under active project management directly tied to the following five strategic goals:

- Secure*.—A secure Senate information infrastructure
- Customer Service Focused*.—A "Customer Service Culture" top-to-bottom
- Effective*.—Information technology solutions driven by business requirements
- Accessible, Flexible & Reliable*.—Access to mission-critical information anywhere, anytime, under any circumstances
- Modern*.—A state-of-the-art information infrastructure built on modern, proven technologies

Another key aspect of the plan—the CIO organization's Core Values and Guiding Principles—defines the organization's culture and ensures it is aligned strictly with

the Senate's business priorities. These values and principles emphasize people, teamwork, leadership, and a relentless pursuit of organizational excellence. The goal is to have the right sized workforce with the correct talent mix to deliver information technology services and solutions quickly and effectively to satisfy the Senate's requirements.

*Technology for Security, Accessible, Flexible & Reliable Systems, and a Modern Senate Information Security Infrastructure*

We are improving the security of the technology infrastructure that protects data, respects privacy, enables continuous Senate operations, and supports our emergency and continuity plans. Our efforts over the past year have enabled us to support alternate sites and the replication of information, as well as emergency and contingency communications. We are delivering increased support for remote access and are completing the in-building wireless infrastructure. A significant commitment to information technology security will increasingly protect the Senate from external threats, and the multi-year telecommunications modernization project will improve the reliability of the infrastructure. This work all focuses on improving the ability of the Senate to accomplish its mission.

*Alternate Sites and Information Replication*

We continue to develop our ability to relocate information systems capability at the alternate computing facility (ACF). All critical Senate enterprise information systems are now replicated there, using sophisticated storage area network technology. In October, the CIO conducted the second comprehensive test of the facility: Senate primary computing facilities (including network access) were completely shut down and reconstituted at the ACF. Full capability and functionality were provided from the ACF for a period of four hours and then systems were "failed-back" to the primary computing facility on Capitol Hill. Like the first comprehensive test, conducted in December 2005, this exercise, which encompassed more applications, was a complete success. Funds requested in fiscal year 2008 will help us continue to upgrade the storage area network to meet expanding data requirements and ensure we can continue to replicate Senate enterprise systems successfully at the ACF.

This past year the CIO organization continued helping Member and committee offices replicate their data to state offices and to the ACF through the remote data replication (RDR) program. As of February 2007, there are 41 Member offices and 17 committees taking advantage of this program, with 45 percent installed at the ACF and 55 percent installed in Members' state offices. RDR will provide the Senate an unprecedented ability to access institutional data in the event of an emergency. Another system which is integral to emergency planning, particularly in the event of a mass telecommuting scenario such as a pandemic, is the Senate's video teleconferencing system. This highly-successful project now has over 525 units installed supporting offices across the nation with usage rates in excess of 30,000 minutes per day when the Senate is in session.

The CIO completed the active directory messaging architecture (ADMA) project this past year, offering Member offices three architectural options for their messaging infrastructure. Both the enterprise and hybrid architectures provide complete replication of the Member's electronic mail at the ACF. Eighty-five percent of the offices are now taking advantage of the COOP capability inherent in the enterprise and hybrid options.

We recently introduced the Virtual File Server (VFS) system which allows offices to store data securely on our large, centrally-hosted, enterprise-class storage area network. The VFS system, as designed, provides redundancy for disaster recovery and COOP and minimizes the environmental and staff burden of in-office data storage. Offices that opt for VFS also enjoy enterprise-level data backup and off-site storage of backup tapes while retaining control of data recovery. The active components are located at the ACF. In the event of a disaster that renders the PCF system unavailable, the ACF system will be brought on line and will provide users consistent access to their data. The VFS system has been available since December, 2006, and already fourteen Senate offices have taken advantage of this exciting new technology.

*Emergency and Contingency Communications*

The CIO is providing a comprehensive array of communications systems and options with the objective of being able to communicate under any circumstance. A new capability, currently being deployed Senate-wide, is the Senate Message Alert Client (SMAC). SMAC eliminates our dependence on any single commercial carrier for BlackBerry emergency communications and provides the flexibility of device-to-device communications. Through SMAC, emergency notification lists can be created, inter- or intra-office, to push emergency messages directly to devices on the list in

real time. SMAC and the global email alert system are two of the primary methods for the USCP and the SAA to issue mass emergency communications messages.

This year we continued upgrading and testing our two Senate emergency response communications vehicles according to a monthly exercise plan. These assets are available for deployment with LAN, WAN, telephone, and satellite connectivity and provide the ability to relocate significant information infrastructure virtually anywhere. We also continue to train and expand our deployment teams, and work to revise and refine our operations procedures for deployment of these vehicles in support of the Senate.

This past year we completed the in-building wireless infrastructure in all of the Senate office buildings, including the Capitol, and are currently outfitting the Capitol Visitor Center (CVC) in preparation for its opening in 2008. This innovative system, which won a Government Computing News Best Practices Award, improved signal strengths for the major cellular telephone carriers as well as BlackBerry service. This infrastructure provides coverage in areas where it was previously poor or non-existent and allows Senate staff to connect back to their offices via wireless remote computing. The wireless infrastructure also supports every carrier, allowing Members to use the carrier of their choice with the device of their choice across the Senate campus.

This year Senate COOP and reconstitution sites have been equipped with information technology infrastructure including telecommunications, data networks, and video teleconferencing. Additionally, mobile and remote computing technologies allow Senate staff to access and modify their information and communicate from virtually anywhere, anytime. We will continue to enhance and expand these capabilities in order to support a potentially dispersed workforce with the ability to telecommute. These capabilities are crucial to our ability to support the Senate in an emergency situation where the workforce must be dispersed and also support the Senate's ability to provide employees with flexible work options on a daily basis.

We are dedicated to providing an integrated and highly-reliable emergency communications infrastructure through a variety of projects including expanding our emergency communications infrastructure, integrating and streamlining emergency communications capability, liaison with the USCP command center, developing specifications for outfitting emergency operations centers (EOC) and leadership coordination centers, and conducting monthly comprehensive testing of emergency alert notification systems. This past year we successfully conducted comprehensive Senate-wide tests of all of our emergency communications systems, upgraded the SAA EOC with a web-based management system, and began work on a major upgrade of the Senate's mass communications system.

#### *Securing our Information Infrastructure*

As a result of information security activities we described in last year's testimony, we have gained a much better understanding of the dynamic nature of global cyber threats. This knowledge, combined with the flexible technologies used in the security operations center (SOC), allows us to understand the overall IT operational risk present in the Senate environment. Adjusting our own SAA controls, and making recommendations to offices and committees, allows us to help ensure continuity of government by increasing availability of the IT infrastructure, even under duress.

In the IT security threat environment, the list of potential threats to our information infrastructure is growing in number and sophistication. Over the next year, we will meet the challenge of managing a volatile security environment by: (1) expanding the role of the recently established SOCs; (2) optimizing our current configuration of security controls; (3) improving our collaboration with other federal agencies in the areas of incident response and situational awareness; (4) evaluating, testing, and deploying new security control mechanisms; and (5) enhancing communication with IT staff in Member and committee offices to give them timely and usable information in order to improve the security posture of their local IT systems.

During a recent four-month period, our most visible IT system, the Senate's website, [www.senate.gov](http://www.senate.gov), was the target of over 17 million discrete unsuccessful security events from almost 200,000 different Internet addresses. A recent external security review of the site helped us make some adjustments that will secure the site even more, but the site itself is a prime target for attacks. We will soon engage an outside party to perform another assessment of [www.senate.gov](http://www.senate.gov), as we have made a number of infrastructure improvements over the last year.

Similar to security in the physical world, security in the information technology world requires constant vigilance and the ability to deter attacks. The threats to our information infrastructure are increasing in frequency and sophistication, and they come from spyware, adware, malware, Trojans, keyloggers, spybots, adbots, and trackware, all of which continuously search for vulnerabilities in our systems. Coun-

tering the evolving threat environment means increasing our awareness of the situation, improving our processes, and continually researching, testing, and deploying new security technologies. Because we have very little advance notice of new types of attacks, we must and do have flexible security control structures and processes that are continually revised and adjusted. Our efforts to cultivate external relationships to improve our overall awareness of internet-based threats have been effective. As the global threat environment has shifted, we have modified our techniques and our technologies to improve our awareness and response to better protect the Senate's IT infrastructure.

This last year, we experienced growth in the area of office and committee computer security assistance. We are increasingly called upon to help offices and committee system administrators properly configure desktop and server security controls. We also assist them in evaluating our weekly reports on anti-virus controls. Additionally, we are now monitoring Internet email "blacklists" for potential delivery issues. As the Senate continues to employ cutting edge technologies, the IT security group's activities will adjust in order to ensure optimal product performance and service delivery. We continue to use cutting edge technology, not only within our IT security services, but also in our IT security infrastructure. For example, we recently upgraded our antivirus infrastructure which will allow us greater flexibility, better utilization of our computing resources, and will enhance our availability and disaster recovery capabilities. This infrastructure is very scalable, and we can continue to expand capabilities while conserving on costs.

Protecting the Senate's information is one of our most important responsibilities. This year we have taken tremendous strides in this area with the development and operation of the Senate's redundant SOC's, one located at Capitol Hill and the other at the ACF. The mission of the SOC's is to identify and understand threats, assess vulnerabilities, identify failure points and bottlenecks, determine potential impacts, and remedy problems before they adversely affect Senate operations. In the coming months, an outside party will perform an operations review of our current SOC implementation and we will use the results of this assessment to procure, as needed, additional cyber security products and services which will provide enhanced value to our customers. We augment this capability with close liaisons to other federal agencies to ensure we have the most up-to-date information and techniques for combating cyber threats. Running within the SOC's, a state-of-the-art security information management system aggregates and reports on data from a variety of sources worldwide to help us track potential attackers before they can harm us. The combination of the security operations center, our defense-in-depth capability at all levels of our network infrastructure, and our enterprise anti-virus/anti-spyware programs has proven highly effective.

The threat environment, as measured by detected security incidents, remains very high. For example, every day we detect approximately 1,121,000 potential security threats targeting the Senate, over 40 percent of which are characterized as medium to high risk. Other anti-virus/worms controls detected and countered 2,181 viral events in 310 computers located in 91 Senate offices in just the three-month period between November 1, 2006, and February 1, 2007. To date, 136 Senate offices use our managed anti-virus system. This system protects over 11,000 Senate computers. This is one of the main reasons that recent worm outbreaks affected only a relatively small number of Senate computers while just three years ago, outbreaks infected several thousand machines and caused notable disruption in IT operations. Our antivirus products are comprehensive and state-of-the-art.

IT security is, and will continue to be, a growth area as we work to stay ahead of threats and put safeguards in place. We plan to increase both our analytical and defensive capabilities. Accordingly, this year we are requesting three new full-time employees in our IT Security Branch.

#### *The Senate Telecommunications Modernization Program*

We are currently in the process of modernizing the Senate's entire telecommunications infrastructure to provide improved reliability and redundancy to support daily operations and continuity of operations and government, as well as to take advantage of technological advances to provide a more flexible and robust communications infrastructure. We are now in the final engineering and design stage of this multi-year project to modernize Senate telecommunications systems in the Capitol, Hart, Dirksen, Russell, and Postal Square buildings.

The telecommunications modernization program is being engineered to provide redundancy for increased reliability and availability resulting in a state-of-the-art system of converged voice, data, and video communications technologies built upon Internet telephony protocols or voice over IP (VoIP). This approach will allow economies of scale in construction and management and, from the user side, the ability

to synchronize audio and video conferences, share documents, and collaborate at their workstations. The telecommunications modernization program will replace our twenty-year old telephone technology, eliminate single failure points, provide new capability and value to the Senate, and benefit from the security of running behind our infrastructure's firewalls.

#### *Modern Technology to Enhance Customer Service*

##### *Customer Service, Satisfaction, and Communications*

Our Strategic Plan stresses customer service as a top priority, and we actively solicit feedback from all levels and for all types of services. The CIO's Fourth Annual Customer Satisfaction Survey revealed another improvement with an overall customer satisfaction rating of 87 percent, up two percent from last year. This comprehensive survey measures satisfaction with systems, solutions, service and the quality of personnel in our organization. Based on the survey results, our customer satisfaction action plan continues to stress developing strong communications and customer relationships, introducing modern technology faster, and providing offices with options and choices that tie the Senate's technology directly to the offices' business requirements.

In addition to the comprehensive Annual CIO Customer Satisfaction Survey, we solicit customer feedback for every help desk ticket opened. We have very stringent service level agreements (SLAs) in place that directly drive the level of compensation our contractors receive. Since January 2006, we have exceeded the 95 percent SLA performance metric every month in system installation service levels, help desk resolution times, and customer satisfaction. In order to ensure we are communicating as much as possible and as effectively as possible with our customers, the CIO organization continues its comprehensive outreach and communication program through the CIO's Blog, information technology newsletters, quarterly project status reviews, participation in information technology working groups, weekly technology and business process review meetings with customers, joint monthly project and policy meetings with the Committee on Rules and Administration, the Senate Systems Administrators Association, and the Administrative Managers' Steering Group.

##### *Keeping Senators and their Staffs Informed*

The Senate Information Services program continues to deliver premium, vital online information services to Senators and Senate staff. These services range from the Senate's own "real-time" news tool, Senate NewsWatch, to enterprise-wide subscriptions to heavily-used external research services that provide online access to: extensive current and archived news and general information including ten historical newspapers, federal and state statutes and case law, regulatory and judicial developments, congressional news and current policy issues analysis, information technology policy developments, and daily updated directories of government, business, and professional associations. In addition, Senate users accessed nearly 2.7 million real-time news stories and almost 1.5 million pages of Congressional news and current policy analyses during 2006. The most recent addition to the program differs from other online news services because of its unique digitally imaged, full-format graphical presentation of more than 300 U.S. and international newspapers available each morning on the day of publication. These newspapers appear on the screen as they would on the reader's desk, complete with photos and other graphics. Senate users viewed nearly 24,000 newspapers using this service in 2006.

##### *A New Information Technology Support Contract*

The final option year of our current IT support contract ends in September 2007. Due to the large size, importance with respect to customer service and complexity, we began to develop contract requirements in 2005 and issued a request for proposals in 2006. We are currently in the process of reviewing proposals with the expectation of signing a new contract this summer. The new contract will incorporate lessons learned during the current contract and stress a high level of customer service and customer satisfaction through stringent SLAs that tie compensation to performance.

##### *A Robust, Reliable, Modern Messaging Architecture*

This past year we completed deployment of a comprehensive active directory and messaging architecture (ADMA) providing a spectrum of options for data management. A great IT success story, this project began in 2003 with the three primary goals: providing a computing platform that allows offices to replace servers running the now unsupported Windows NT 4 operating system, improving the messaging system, and providing offices with choices to meet their varying business needs. The design options were presented to Senate offices along with the expected impact on



each office of migrating all computers, user accounts, and email. We committed to and met specific time frames for completing each office migration. Today, all Senate offices are enjoying the benefits of ADMA which includes a modern, robust, reliable, and scalable infrastructure, built-in options for continuity of operations, design choices, and a platform for leveraging modern technologies including collaboration, mobility, and communications.

#### *Web-Based and Customer-Focused Business Applications*

This year, we completed the first phase of a new Senate services portal. Based on the requirements of Senate offices and the Committee on Rules and Administration, the portal, called TranSAAct, is eliminating paper-based, manual processes and moving them to the web. Using TranSAAct, Member offices manage and track invoices for SAA services through a modern web interface and also have single sign-on access to a host of web-based applications including the ALERTS emergency notification database, package tracking, the metro fare subsidy system, and garage parking database. Built on an extensible modern database framework, TranSAAct allows indefinite expansion as new applications are added. We are now actively pursuing Phase II which will include many more applications, all available through the TranSAAct single sign-on interface.

This year, we continued support to the Secretary of the Senate through improvements and enhancements of the Financial Management Information System and Legislative Information System. Reliance on special forms and dedicated hardware was eliminated as a new document printing application achieved full production usage. We also provided essential support on an electronic invoicing initiative with a major vendor. Finally, major architectural improvements were realized with the release of a new database and the addition of a new, modern operating environment on the Senate's mainframe computer.

To provide more functionality and choices for Senate offices to manage correspondence, this past year we awarded new Constituent Correspondence Management Systems (CCMS) contracts. Under these contracts, we are able to offer offices new capabilities and more functionality such as document management, workflow, and improved email management. The new contracts also contain strict service level standards to provide for improved services and support from the vendors.

#### *Showcasing and Promoting Modern Information Technology in the Senate*

This past year we continued to highlight new technologies in the Information Technology Demonstration Center through a series of well-attended CIO Demo Days. After products are tested and validated in the Technology Assessment Laboratory, they are then available for offices to try in the demo center. The Demo Days feature live demonstrations of new and emerging technologies. This year, we introduced: SMAC, virtual file services, and a variety of new communications devices.

Also, this past year, we hosted two more highly-successful Senate Emerging Technology Conferences and Exhibitions to expose Senate staff to new technologies and concepts. These conferences are designed around technology themes of immediate interest Senate-wide. The two conferences held this past year featured new web technologies and the future of desktop computing. Speakers included industry leaders, Senate office staff, and CIO staff. The next Senate Emerging Technology Conference and Exposition, scheduled for April, will feature mobile computing technologies.

In order to perform technology assessments, feasibility analysis, and proof of concept studies, to ensure we are considering technologies that will directly support the Senate's mission, we have expanded the technology assessment laboratory. Technologies and solutions are vetted and tested here prior to being announced for pilot, prototype, or mass deployment to the Senate. To ensure that relevant technologies and solutions are under consideration, the CIO-led technology assessment group, consisting of members of the CIO organization and our customers, performs high-level requirements analysis and prioritizes new technologies and solutions for consideration for deployment in the Senate. Some of the technologies explored in the lab during 2006 include: advanced video teleconferencing to support distributed operations in the event of a pandemic; virtual file systems, as a remote data application option; new emergency communication products such as new BlackBerry devices; new multi-function machines to consolidate printing/scanning/faxing; and the latest office automation software. We publish the results of our studies on the emerging technology page of the CIO's intranet site on Webster.

#### **OPERATIONS AND SUPPORT: CONSISTENTLY DELIVERING EXCELLENT SERVICE**

The commitment to exceptional customer service is a hallmark of the Sergeant at Arms organization and the cornerstone of our support functions. The groups that

make up our support team continue to provide exceptional customer service to the Senate community.

#### *Capitol Facilities*

Our staff works around the clock to ensure that the furniture and furnishings are of the highest quality, cabinetry and framing are outstanding, and the environment within the Capitol is clean and professional.

Service to the Capitol community was greatly enhanced with the implementation of the first phase of the integrated work management system that was acquired in April, 2006. This system includes an on-line furniture catalog, ordering functions, and work order tracking capabilities. When fully implemented, the work management system will prove invaluable to our efforts to improve customer service and response times as we serve our customers in the Capitol.

#### *Printing Graphics and Direct Mail*

We provide photocopying and print design and production services to the Senate. The Printing Graphics and Direct Mail (PGDM) department continues to provide high level service and customer support to the Senate community. In fiscal year 2006, we responded to an increasing demand for color publications by using both digital color reproduction and traditional full color offset printing. PGDM produced more than 8.1 million full-color pages utilizing offset presses. Our copy centers made over 46 million copies last year. The convenient web-based printing ordering service expanded, increasing web-based printing requests to more than 3.3 million documents. PGDM staff scanned more than 2.4 million Senate office documents for archiving and expanded the newest service, CMS Imaging, to scan nearly 350,000 documents, a 207 percent increase over fiscal year 2005. We saved the Senate approximately \$800,000, enabled quick turnaround times, and provided convenient customer service by producing over 9,000 large format charts in-house. In the area of constituent mail, Senate offices saved \$1.3 million in postage expenses as a result of PGDM sorting over 7.2 million pieces of mail during the first three quarters of fiscal year 2006. Working with other Senate entities, we also processed 45,000 flag requests.

After years of planning, the new Senate Support Facility in Landover, Maryland is fully functional. We manage a storage area for other Senate offices including: furniture for Capitol Facilities; legislative documents for the Secretary of the Senate; general and emergency equipment for SAA IT Support Services; and a book storage area that holds publications for distribution to the entire Senate community. Substantial increases in efficiency and functionality have been realized in this multi-purpose facility, including a cooperative arrangement with the United States Capitol Police Off-Site to ensure the proper screening of all stored material. This facility has an enhanced inventory system for accurate inventory control and accountability. A state-of-the-art security system provides controlled access to sensitive documents and objects. Other features include environmental and climate controls.

#### *Parking Office*

We completed the Senate Transportation Plan for COOP and emergency operations and developed a plan to increase the volume of E85/Flex-fuel vehicles in the SAA fleet. As part of an ongoing project, we replaced gate kiosks on Lots 16 and 19 in cooperation with the AOC. We executed the leases for two new 15-passenger shuttle buses that are ADA compliant and completed the COOP Driver Emergency Procedures manual and all training sessions.

#### *Photo Studio*

The Photo Studio completed the migration of the Photo Browser to the latest version of the Asset Manager software. We implemented procedures to store Senators' photo images on DVDs for archiving and creating index booklets. Additionally, we introduced composite photo prints and expanded image retouching and restoration services.

#### *Recording Studio*

We televise the activity on the Senate Floor, as well as Senate committee hearings, and we provide a production studio and equipment for Senators' use. Last year, we televised all 978 hours of Senate Floor proceedings, 907 committee hearings, and broadcast 1,559 radio and television productions.

#### *Committee Hearing Room Upgrade Project*

Demand for additional committee broadcasts has been ever increasing. In 2003, we began working with this Committee and the Committee on Rules and Administration to upgrade and install multimedia equipment in Senate committee hearing

rooms. The project includes digital signal processing, audio systems, and broadcast-quality robotic camera systems.

To date, we have completed thirteen hearing rooms and have four more in the design phase. Room enhancements include improved speech intelligibility and software-based systems that we can configure based on individual committee needs. The system is networked, allowing committee staff to easily and automatically route audio from one hearing room to another when there are overflow crowds. Additionally, the system's backup will take over quickly if the primary electronics fail.

As part of the upgrades included in our move to the Capitol Visitor Center (CVC), we are installing technologies to enhance our ability to provide broadcast coverage of more hearings simultaneously without adding staff. For example, the Committee Hearing Room Upgrade Project will allow us to cover a hearing with one staff member. Before the upgrade, three staff members were required to adequately cover a hearing. These technology enhancements, coupled with the expansion of the number of control rooms for committee broadcasts to twelve, will enable us to increase our simultaneous broadcast coverage of committee hearings from five to as many as twelve.

#### *Migration to the Capitol Visitor Center*

The most significant work we anticipate for the Senate Recording Studio, over the next year and a half, is its move from the basement of the Capitol to the Capitol Visitor Center. This move will enable the Recording Studio to complete its upgrade to a full High Definition facility, and to implement a number of improvements that have been planned to coincide with the opening of the Center. The Studio anticipates moving all aspects of its operation, including the engineering shops, the Senate Television operation, Studio production and post-production facilities, committee broadcast services, and all administrative and management offices to the CVC by September 1, 2008.

#### CONCLUSION

We take our responsibilities to the American people and to their elected representatives seriously. The Office of the Sergeant at Arms is like dozens of small businesses, each with its own primary mission, each with its own measures of success, and each with its own culture. It has a fleet of vehicles that serves Senate Leadership, delivers goods, and provides emergency transportation. Our Photography Studio records historic events, takes official Senate portraits, provides a whole range of photography services, and delivers thousands of pictures each year. The SAA's printing shop provides layout and design, graphics development, and production of everything from newsletters to floor charts. The Office of the Sergeant at Arms also operates a page dormitory, a hair salon, and parking lots. It provides many other services to support the Senate community, including framing, flag packaging and mailing, and intranet services. Each of these businesses requires personnel with different skills and different abilities. One thing that they all have in common, though, is their commitment to making the Senate run smoothly.

Over the past year, the staff of the SAA has kept the Senate safe, secure, and operating efficiently. This Committee and the Committee on Rules and Administration have provided active, ongoing support to help us achieve our goals. We thank you for your support and for the opportunity to present this testimony and respond to any questions you may have.

#### APPENDIX A.—FISCAL YEAR 2008 BUDGET REQUEST

##### ATTACHMENT I—FINANCIAL PLAN FOR FISCAL YEAR 2008 OFFICE OF THE SERGEANT AT ARMS—UNITED STATES SENATE

#### EXECUTIVE SUMMARY

[Dollar amounts in thousands]

	Fiscal year 2007 budget	Fiscal year 2008 request	Fiscal year 2008 vs. fiscal year 2007	
			Amount	Percent Incr/ Decr
General Operations & Maintenance:				
Salaries .....	\$60,051	\$64,443	\$4,392	7.3
Expenses .....	\$67,219	\$81,934	\$14,715	21.9

## EXECUTIVE SUMMARY—Continued

[Dollar amounts in thousands]

	Fiscal year 2007 budget	Fiscal year 2008 request	Fiscal year 2008 vs. fiscal year 2007	
			Amount	Percent Incr/ Decr
Total General Operations & Maintenance .....	\$127,270	\$146,377	\$19,107	15.0
Mandated Allowances & Allotments .....	\$55,630	\$58,072	\$2,442	4.4
Capital Investment .....	\$11,711	\$17,165	\$5,454	46.6
Nondiscretionary Items .....	\$4,640	\$5,279	\$639	13.8
TOTAL .....	\$199,251	\$226,893	\$27,642	13.9
Staffing .....	927	946	19	2.0

To ensure that we provide the highest levels and quality of security, support services and equipment, we submit a fiscal year 2008 budget request of \$226,893,000, an increase of \$27,642,000 or 13.9 percent compared to fiscal year 2007. The salary budget request is \$64,443,000, an increase of \$4,392,000 or 7.3 percent, and the expense budget request is \$162,450,000, an increase of \$23,250,000 or 16.7 percent. The staffing request is 946, an increase of 19.

We present our budget in four categories: General Operations and Maintenance (Salaries and Expenses), Mandated Allowances and Allotments, Capital Investment, and Nondiscretionary Items.

The general operations and maintenance salaries budget request is \$64,443,000, an increase of \$4,392,000 or 7.3 percent compared to fiscal year 2007. The salary budget increase is due to the addition of 19 FTEs, a COLA, and merit funding. The additional staff will support increased demand for services, as well as advancing technologies.

The general operations and maintenance expenses budget request for existing and new services is \$81,934,000, an increase of \$14,715,000 or 21.9 percent compared to fiscal year 2007. Major factors contributing to the expense budget increase are additional services and locations under the IT support contract, \$4,054,000; AssetCenter upgrade, \$1,086,000; maintenance, equipment and supplies for the Alternate Computing Facility, \$1,057,000; increased bandwidth for Senate internet access, \$932,000; and maintenance costs related to Enterprise Storage, \$710,000.

The mandated allowances and allotments budget request is \$58,072,000, an increase of \$2,442,000 or 4.4 percent compared to fiscal year 2007. This variance is primarily due to increases in maintenance and procurement of Member and Committee mail systems, \$1,500,000; and office equipment for Washington D.C. and state offices, \$683,000.

The capital investment budget request is \$17,165,000, an increase of \$5,454,000 or 46.6 percent compared to fiscal year 2007. The fiscal year 2008 budget request includes funds for hearing room audio/video upgrades, \$5,000,000; data network engineering and upgrade costs, \$3,800,000; upgrade of SAN, \$2,700,000; modular furniture replacement project, \$2,000,000; and other smaller projects.

The nondiscretionary items budget request is \$5,279,000, an increase of \$639,000 or 13.8 percent compared to fiscal year 2007. The request funds three projects that support the Secretary of the Senate: contract maintenance for the Financial Management Information System, \$3,958,000; maintenance and necessary enhancements to the Legislative Information System, \$910,000; and maintenance and enhancements to the Senate Payroll System, \$411,000.

## ATTACHMENT II—FISCAL YEAR 2008 BUDGET REQUEST BY DEPARTMENT

The following is a summary of the SAA fiscal year 2008 budget request on an organizational basis.

[Dollar amounts in thousands]

	Fiscal year 2007 budget	Fiscal year 2008 request	Fiscal year 2008 vs. fiscal year 2007	
			Amount	Percent Incr/ Decr
Capitol Division .....	\$26,350	\$36,780	\$10,430	39.6

[Dollar amounts in thousands]

	Fiscal year 2007 budget	Fiscal year 2008 request	Fiscal year 2008 vs. fiscal year 2007	
			Amount	Percent Incr/ Decr
Operations .....	\$39,213	\$44,372	\$5,159	13.2
Technology Development .....	\$38,679	\$52,075	\$13,396	34.6
IT Support Services .....	\$79,542	\$77,570	(\$1,972)	- 2.5
Staff Offices .....	\$15,467	\$16,096	\$629	4.1
<b>TOTAL .....</b>	<b>\$199,251</b>	<b>\$226,893</b>	<b>\$27,642</b>	<b>13.9</b>

Each department's budget is presented and discussed in detail on the next pages.

### CAPITOL DIVISION

[Dollar amounts in thousands]

	Fiscal year 2007 budget	Fiscal year 2008 request	Fiscal year 2008 vs. fiscal year 2007	
			Amount	Percent Incr/ Decr
<b>General Operations &amp; Maintenance:</b>				
Salaries .....	\$15,449	\$16,457	\$1,008	6.5
Expenses .....	\$7,101	\$10,923	\$3,822	53.8
<b>Total General Operations &amp; Maintenance .....</b>	<b>\$22,550</b>	<b>\$27,380</b>	<b>\$4,830</b>	<b>21.4</b>
<b>Mandated Allowances &amp; Allotments .....</b>	<b>\$3,800</b>	<b>\$3,500</b>	<b>(\$300)</b>	<b>- 7.9</b>
Capital Investment .....		\$5,900	\$5,900	N/A
Nondiscretionary Items .....				
<b>TOTAL .....</b>	<b>\$26,350</b>	<b>\$36,780</b>	<b>\$10,430</b>	<b>39.6</b>
Staffing .....	281	283	2	0.7

The Capitol Division consists of the Executive Office, the Office of Security and Emergency Preparedness, the U.S. Capitol Police Operations Liaison, Post Office, Recording Studio and Media Galleries.

The general operations and maintenance salaries budget request is \$16,457,000, an increase of \$1,008,000 or 6.5 percent. The salary budget increase is due to the addition of two FTEs, a COLA and merit increases, and other adjustments. The Recording Studio will add a Broadcast Technician to coordinate robotic coverage of the new committee hearing control rooms, and a Broadcast Engineer is needed to maintain and troubleshoot audio systems in multiple hearing rooms.

The general operations and maintenance expenses budget request is \$10,923,000, an increase of \$3,822,000 or 53.8 percent. This increase will primarily fund consulting and equipment purchases in the Office of Security and Emergency Preparedness.

The mandated allowances and allotments budget request for state office security initiatives is \$3,500,000.

The capital investments budget request of \$5,900,000 will fund hearing room audio/video upgrades, \$5,000,000; Recording Studio server expansion, \$700,000; and chamber lighting upgrade, \$200,000.

### OPERATIONS

[Dollar amounts in thousands]

	Fiscal year 2007 budget	Fiscal year 2008 request	Fiscal year 2008 vs. fiscal year 2007	
			Amount	Percent Incr/ Decr
<b>General Operations &amp; Maintenance:</b>				
Salaries .....	\$16,799	\$18,230	\$1,431	8.5
Expenses .....	\$5,852	\$6,027	\$175	3.0

## OPERATIONS—Continued

[Dollar amounts in thousands]

	Fiscal year 2007 budget	Fiscal year 2008 request	Fiscal year 2008 vs. fiscal year 2007	
			Amount	Percent Incr/ Decr
Total General Operations & Maintenance .....	\$22,651	\$24,257	\$1,606	7.1
Mandated Allowances & Allotments .....	\$16,562	\$16,665	\$103	0.6
Capital Investment .....		\$3,450	\$3,450	N/A
Nondiscretionary Items .....				
TOTAL .....	\$39,213	\$44,372	\$5,159	13.2
Staffing .....	300	306	6	2.0

The Operations Division consists of the Central Operations Group (Director/Management, Parking Office, Printing, Graphics and Direct Mail, Photo Studio, and Hair Care Services), Facilities, and the Office Support Services Group (Director, Customer Support, State Office Liaison, and Administrative Services).

The general operations and maintenance salaries budget request is \$18,230,000, an increase of \$1,431,000 or 8.5 percent. The salary budget increase is due to the addition of six FTEs, an expected COLA, and merit increases. Printing, Graphics and Direct Mail plans to add five new FTEs, including two Lead Data Production Specialists, a Reprographics Supervisor, and two Service Workers. The Photo Studio requests one FTE, a Photo Imaging Specialist, to support increases in photo service requests.

The general operations and maintenance expenses budget request is \$6,027,000, an increase of \$175,000 or 3.0 percent.

The mandated allowances and allotments budget request is \$16,665,000, an increase of \$103,000 or 0.6 percent.

The capital investment budget request is \$3,450,000. This request includes funds for modular furniture replacement in SAA office space, \$2,000,000; a networked color printer and layout and design server replacement, \$650,000; replacement of the PhotoBrowser database system, \$500,000; and three production scanners, \$300,000.

## TECHNOLOGY DEVELOPMENT

[Dollar amounts in thousands]

	Fiscal year 2007 budget	Fiscal year 2008 request	Fiscal year 2008 vs. fiscal year 2007	
			Amount	Percent Incr/ Decr
General Operations & Maintenance:				
Salaries .....	\$11,930	\$13,357	\$1,427	12.0
Expenses .....	\$21,438	\$26,199	\$4,761	22.2
Total General Operations & Maintenance .....	\$33,368	\$39,556	\$6,188	18.5
Mandated Allowances & Allotments .....				
Capital Investment .....	\$671	\$7,240	\$6,569	979.0
Nondiscretionary Items .....	\$4,640	\$5,279	\$639	13.8
TOTAL .....	\$38,679	\$52,075	\$13,396	34.6
Staffing .....	130	140	10	7.7

The Technology Development Services includes the Technology Development Director, Network Engineering and Management, Enterprise IT Operations, Systems Development Services, Information Systems Security and Internet/Intranet Services.

The general operations and maintenance salaries budget request is \$13,357,000, an increase of \$1,427,000 or 12.0 percent. The salary budget increase is due to the addition of ten FTEs, a COLA and merit funding for fiscal year 2008. Technology Development requires ten FTEs to support the growing demand on IT Security, to meet expanding hours and additional requirements for the ACF such as COOP RDR, and to eliminate of a backlog of development projects.

The general operations and maintenance expense budget request is \$26,199,000, an increase of \$4,761,000 or 22.2 percent. This increase is due to costs to support increased bandwidth for the Senate Internet access, professional services for applications support to AssetCenter and TranSAAct, technical support, and maintenance and technical support of hardware and software.

The capital investment budget request is \$7,240,000, an increase of \$6,569,000 or 979.0 percent. Major projects include the SAN Upgrade, \$2,700,000; data network engineering costs, \$2,300,000; data network upgrade, \$1,500,000; and the centralized back-up system, \$680,000.

The nondiscretionary items budget request is \$5,279,000, an increase of \$639,000 or 13.8 percent. The request consists of three projects that support the Secretary of the Senate: contract maintenance for the Financial Management Information System, maintenance and necessary enhancements to the Legislative Information System, and maintenance and enhancements to the Senate Payroll System.

#### IT SUPPORT SERVICES

[Dollar amounts in thousands]

	Fiscal year 2007 budget	Fiscal year 2008 request	Fiscal year 2008 vs. fiscal year 2007	
			Amount	Percent Incr/ Decr
General Operations & Maintenance:				
Salaries .....	\$6,492	\$6,834	\$342	5.3
Expenses .....	\$27,217	\$32,254	\$5,037	18.5
Total General Operations & Maintenance .....	\$33,709	\$39,088	\$5,379	16.0
Mandated Allowances & Allotments .....	\$35,268	\$37,907	\$2,639	7.5
Capital Investment .....	\$10,565	\$575	(\$9,990)	-94.6
Nondiscretionary Items .....				
TOTAL .....	\$79,542	\$77,570	(\$1,972)	-2.5
Staffing .....	113	113		

The IT Support Services Department consists of the Director, Office Equipment Services, Telecom Services and Desktop/LAN Support branches.

The general operations and maintenance salaries budget request is \$6,834,000, an increase of \$342,000 or 5.3 percent. The salary budget will increase due to an expected COLA and merit funding for fiscal year 2008.

The general operations and maintenance expenses budget request is \$32,254,000, an increase of \$5,037,000 or 18.5 percent. This increase is primarily due to increased maintenance costs under the IT Support Contract, \$4,054,000.

The mandated allowances and allotments budget request is \$37,907,000, an increase of \$2,639,000 or 7.5 percent. This budget supports voice and data communications for Washington D.C. and state offices, \$17,535,000; computer equipment, \$10,915,000; maintenance and procurement of Member and Committee mail systems, \$6,000,000; procurement and maintenance of office equipment for Washington D.C. and state offices, \$3,940,000; and the Appropriations Analysis and Reporting System, \$250,000.

The capital investment budget request is \$575,000, a decrease of \$9,990,000 or 94.6 percent. The current budget request includes funds to help manage constituent e-mail traffic and support new CSS applications.

#### STAFF OFFICES

[Dollar amounts in thousands]

	Fiscal year 2007 budget	Fiscal year 2008 request	Fiscal year 2008 vs. fiscal year 2007	
			Amount	Percent Incr/ Decr
General Operations & Maintenance:				
Salaries .....	\$9,381	\$9,565	\$184	2.0

## STAFF OFFICES—Continued

[Dollar amounts in thousands]

	Fiscal year 2007 budget	Fiscal year 2008 request	Fiscal year 2008 vs. fiscal year 2007	
			Amount	Percent Incr/ Decr
Expenses .....	\$5,611	\$6,531	\$920	16.4
Total General Operations & Maintenance .....	\$14,992	\$16,096	\$1,104	7.4
Mandated Allowances & Allotments .....				
Capital Investment .....	\$475		(\$475)	— 100.0
Nondiscretionary Items .....				
TOTAL .....	\$15,467	\$16,096	\$629	4.1
Staffing .....	103	104	1	1.0

The Staff Offices Division consists of Education and Training, Financial Management, Human Resources, Employee Assistance Program, Process Management & Innovation, and Special Projects.

The general operations and maintenance salaries budget request is \$9,565,000, an increase of \$184,000 or 2.0 percent. The salary budget increase is due to the addition of one FTE, a COLA, and merit funding. Process Management and Innovation requires one Principal IT Specialist in System Architecture and Integration to replace an on-site contractor providing support and maintenance.

The general operations and maintenance expenses budget request is \$6,531,000, an increase of \$920,000 or 16.4 percent. This increase will fund enhancements of the Senate's Active Directory and Messaging Architecture and metro subsidy.

Madam Chair and Members of the Committee, I am honored to appear before you today to discuss the U.S. Capitol Police fiscal year 2008 Budget Request. With me today is Phil Morse, Chief of Police.

Before I begin Madam Chair, I would like to thank the Committee for their ongoing support of the men and women of the U.S. Capitol Police. Your commitment to their continued and diligent efforts to develop better security operations, response forces and law enforcement capabilities has significantly contributed to the Capitol Police's ability to provide a safe and secure environment for Members of Congress, staff, and the general public.

The Capitol Police Board appreciates this opportunity to appear before you. The security challenge confronting the U.S. Capitol Police today remains constant and complex. However, it is a challenge that the Department successfully manages each day of the year.

Having been the Chief and now Sergeant at Arms and Capitol Police Board Chairman, I am acutely aware of the security challenges that confront the men and women of the U.S. Capitol Police. The challenges they face are in the magnitude of the mission they perform. The Capitol Police stand between those intent on doing harm and those they have sworn to protect. The ability of the Congress to perform its mission is directly related to the ability of the men and women of the Capitol Police to successfully perform their mission.

The Capitol Police Board works closely with the Department in assessing security risks and determining approaches for mitigation. The Capitol continues to be foremost symbol of democracy, a prime terrorist target. We must always be one step ahead of the terrorist in order to be successful. This is a challenge because of cost, balancing freedoms and the professional challenge of constant vigilance. Security systems, and the infrastructure that supports them, are expensive. The Capitol Police have prepared a budget request that reflects the needs of the Department in meeting critical security requirements as they are currently understood. They have been judicious in the initiatives they have included in their request. They have the full support of the Capitol Police Board in their efforts, especially in determining the number of personnel needed, evaluating threats, maximizing the use of technology and working with other agencies.

The Board will continue supporting the Department in its on-going work with the recommendations of the Government Accountability Office (GAO) and the new Inspector General.



As the threat environment changes, or additional mission requirements are added the Department will in all probability need additional personnel with concomitant costs, space and technology. For instance the opening of the CVC is an additional responsibility. Longer hours of operation, more visitors or the opening of secured doors have the potential to be unfunded mandates.

Chief Morse and his team are steadfast in their efforts to efficiently use their personnel. The men and women of the United States Capitol Police (USCP) work hard and often long hours in very difficult weather conditions. They have met or exceeded nearly every demand placed upon them. There is however a point where we overwork the cadre of USCP personnel, sworn and civilian.

The Capitol Police have done an exemplary job of protecting the Congress, its legislative process, Members, employees and visitors from crime, disruption or terrorism. I want to offer my thanks to the men and women of the U.S. Capitol Police. They coordinate the people, organizations, and resources necessary to respond to the variety of threats we face today. It is an extremely difficult job to maintain a legislative complex that is completely open to the public, while at the same time ensuring the safety of the Congress, staff and visitors against increased dangers.

The men and women of the Capitol Police have my greatest respect. I know from personal experience that each one considers it an honor to protect, serve, and welcome our citizens and people from around the world to our Nation's Capitol who come to participate in the legislative processes, to witness democracy in action, and partake in the history of this unique place. We have a leader in Chief Morse and he is assembling a powerful management team.

Madam Chair, on behalf of the Capitol Police Board, I would like to thank you for this opportunity to appear before you today, and for your consideration of this budget request.

I would now like to introduce Chief Morse who will present the Capitol Police's fiscal year 2008 Budget in more detail.



## UNITED STATES CAPITOL POLICE

### STATEMENT OF PHILLIP D. MORSE, CHIEF

### ACCOMPANIED BY DAN NICHOLS, ASSISTANT CHIEF

Senator LANDRIEU. Chief.

Chief MORSE. Good morning Madam Chair, members of the subcommittee—

Senator LANDRIEU. Can you pull the microphone a little closer to you.

Chief MORSE. Good morning, Madam Chair, members of the subcommittee. Thank you for the opportunity to appear before you today to discuss the United States Capitol Police fiscal year 2008 budget request.

I am honored to have been chosen as the Chief of Police and I look forward to continuing the transformation of the Capitol Police to a premiere, well managed security law enforcement operation that the Congress both deserves and expects.

After over 21 years in the Department, I have seen firsthand how we have changed and grown particularly since 9/11 and the anthrax incidents. Through all the changes, the United States Capitol Police steadfastly maintains our core duty of protecting the Congress, its legislative processes, as well as staff and visitors, from harm. It is our duty and honor to protect and secure Congress so it can fill its constitutional responsibilities in a safe and open environment.

Congressional operations are highly visible targets for individuals and organizations intent on causing harm to the United States and disrupting the legislative process of our Government. It is the men and women of the Capitol Police who stand between those intent on causing harm and those who we protect.

Teamwork and leadership are essential qualities of a well-managed security law enforcement operation and I recognize the hard work of all the sworn and civilian staff of the United States Capitol Police who exhibit their leadership and dedication to teamwork in meeting our mission. It is these dedicated individuals, with the support of the Capitol Police Board and the Congress, who ensure the safety of members, staff, and the millions of visitors each and every hour of the day, each and every day of the year—without exception.

It is the duty of the men and women of the Capitol Police to do what is in our power to prevent acts against this body and if such acts should occur, to respond appropriately to ensure the safety and well being of our stakeholders.

Madam Chair, I submit the remainder of my testimony for the record and I am happy to answer any questions that you may have.

[The statement follows:]

## PREPARED STATEMENT OF PHILLIP D. MORSE, SR.

Madam Chair and Members of the Committee, thank you for the opportunity to appear before you today to discuss the United States Capitol Police's fiscal year 2008 budget request. I am honored to have been chosen as the Chief of Police and look forward to continuing the transformation of the Capitol Police into the premiere, well-managed security and law enforcement operation the Congress both deserves and expects. After over 21 years in the Department, I have seen, firsthand, how we have changed and grown, particularly since the 9/11 and Anthrax incidents. Through all of the changes, the United States Capitol Police steadfastly maintains our core duty of protecting the Congress, its legislative process, as well as staff and visitors from harm. It is our duty and honor to protect and secure Congress, so it can fulfill its Constitutional responsibilities in a safe and open environment. Congressional operations are a highly visible target for individuals and organizations intent on causing harm to the United States and disrupting the legislative processes of our government, and it is the men and women of the Capitol Police who stand between those intent on causing harm and those we protect.

Teamwork and leadership are essential qualities of a well-managed security and law enforcement operation, and I recognize the hard work of all of the sworn and civilian staff of the United States Capitol Police who exhibit their leadership and dedication to teamwork in meeting our mission. It is these dedicated individuals, with the support of the Capitol Police Board and the Congress, who ensure the safety of the Members, staff and millions of visitors each and every hour of the day, each and every day of the year, without exception. It is the duty of the men and women of the Capitol Police to do all in our power to prevent acts against this body, and if such acts should occur, to respond appropriately to ensure the safety and well-being of our stakeholders.

The employees of the United States Capitol Police are dedicated to their work, and thus; we as a team have had significant accomplishments in the past year, including:

- Responding to the Rayburn Active Shooter Incident, the 9/18 armed intruder incident, and the Russell and Dirksen Hazmat incidents;
- Greeting and screening nearly 7 million staff and visitors, coordinating over 2,600 VIP notifications from visiting dignitaries, screening nearly 76,000 vehicles and 78,000 individuals at the Capitol Visitor Center as work proceeded uninterrupted; and responding to and investigating nearly 300 suspicious package incidents, investigating over 3,000 threat and direction-of-interest cases against Members of Congress and other congressional officials;
- Providing incident-free protection to congressional Leadership and visiting officials, which included five visits by the President, 33 visits by the Vice President, and 69 visits from heads of state;
- Planning, preparing, coordinating and executing police services for multiple National Special Security Events, as well as emergencies affecting the U.S. Capitol complex. These included the lying in state of former President Gerald Ford, the President's State of the Union address, the lying in honor of civil rights activist Rosa Parks, Supreme Court confirmation hearings for Chief Justice John Roberts and Associate Justice Samuel Alito; as well as the Million More Movement, the Peace Officers' Memorial Day Service; the National Memorial Day, Labor Day and 4th of July Concerts;
- Developing a real-time backup information technology and communications capability, which will provide critical command and control functionality within minutes of a failure at United States Capitol Police Headquarters;
- Developing and implementing a comprehensive Internal Controls Program within the Department and conducting initial internal controls assessments and enhanced processes to better control and manage the Department; and
- Implementing a new financial management system to provide better accountability and control over financial operations of the Department as well as implementing the first phase of an asset management system, which will allow better tracking of assets and inventory.

In this ever-changing threat environment, the U.S. Capitol Police accomplishes its mission through varied and complementary functions to provide round-the-clock protection to Congress. In an effort to maintain the flexibility of Department operations and maintain operational readiness, the United States Capitol Police, with the support of Congress, has made significant investments in human capital and Department infrastructure. We have concentrated our efforts on augmenting our intelligence capabilities and coordination among the intelligence community; hardening our physical security and counter-surveillance capabilities; automating antiquated security and administrative support systems; enhancing our detection and response

capabilities for explosive devices, as well as chemical and biological agents; and augmenting our incident command and emergency response and notification systems. The initial investments in these important areas were significant, and these capabilities require substantial resources for maintenance in order to ensure that our systems are operational at all times. The majority of these infrastructure investments were funded with emergency, supplemental funds or reprogrammed prior year funding and now require annual, on-going operational maintenance and life cycle replacement.

The United States Capitol Police budget for fiscal year 2008 is \$299.1 million, which includes personnel costs of \$237.1 million and non-personnel costs of \$62 million. Compared to the fiscal year 2007 CR level of \$255.6 million, there is an overall increase of \$43.5 million (17.0 percent).

Over the past several years, Congress has generously allowed us to significantly augment daily operating costs through the reprogramming of existing unobligated balances. As a result, our annual appropriation for general expenses does not reflect the actual annual operating requirements that the Congress has authorized to be spent in a given year. It is important to recognize that while Congress has been generous in its support of the USCP through creative mechanisms to provide critical resources, these one-time financing sources are nearly depleted. Our fiscal year 2008 request provides permanent annual funding for critical requirements of the Department and reflects our anticipated annual requirements to operate the Department in fiscal year 2008.

The Congress has made the commitment through resources and policy support to create a formidable Police Department with diverse capabilities designed to deter or respond to any threat to the Capitol Complex. Over the last five years, the Department has grown in human capital, security infrastructure, command and control, and security and law enforcement capabilities. The intent of this budget request is to address targeted civilian manpower needs and the annual sustainment of the Department's capabilities, which have been sourced through a variety of means. From a manpower perspective, the Department is continually reviewing its operational concept to determine the most effective manner in which to conduct operations. The intent of this effort is to be as effective and efficient as possible. In an effort to maintain and further develop a culture committed to excellence, the Department has engaged an outside entity to evaluate our operations as they relate to operational staffing and human capital management. This year-long study will assess every aspect of USCP operational sworn and civilian manpower management and will provide feedback and recommendations for operational alternatives for maximizing manpower while enhancing congressional security. Final results of the assessment are expected in October 2007.

New initiatives in our fiscal year 2008 budget request include additional personnel resources for both sworn and civilian; security for the fiscal year 2008 Republican and Democratic Conventions; funding for the biennial promotions process; costs of the transfer of functions from other agencies; essential maintenance and life cycle replacement of security and information technology infrastructures as well as maintenance related to our aging radio system. The following represents a more detailed look at the United States Capitol Police fiscal year 2008 request.

*Personnel.*—The personnel portion of the request, \$237.1 million, supports the current authorized FTE level of 1,671 sworn and 414 civilians as well as mandatory cost increases for COLAs, promotions, within-grade increases, annualization of fiscal year 2007 positions, health benefit and retirement costs and an additional 10 FTEs for Library of Congress (LOC) attrition, and 30 civilian FTEs. The new LOC officers would bring the fiscal year 2008 sworn FTE level to 1,681, while the civilian FTE level would increase to 444 for a total Department FTE level of 2,125.

Included in the personnel budget is a request for overtime. Staffing levels are driven by security needs and are augmented with overtime to meet critical security requirements. The requested overtime of approximately \$23 million is made up of approximately 460,000 hours. There are three main contributors to fiscal year 2008 estimated overtime increases over fiscal year 2006/fiscal year 2007.

- Increased pace/workload of the Congress;
- Support for the Democratic and Republican National Conventions; and
- Additional workload to maintain security equipment.

*Non-Personnel.*—The fiscal year 2008 request for non-personnel items is \$62 million to support Capitol Police responsibilities for law enforcement, Capitol complex physical security, dignitary protection, intelligence analysis, crowd control, information technology, hazardous material/devices and other specialized response as well as logistical and administrative support.

There are several factors affecting the rate of increase in the fiscal year 2008 Budget Request. First, in fiscal year 2006, the United States Capitol Police received

authority for reprogramming of approximately \$4.6 million into the General Expenses appropriation to fund fiscal year 2007 operating expenses. This made the total available amount for fiscal year 2007 General Expenses approximately \$43.1 million, which was the approximate spending for fiscal year 2006 operations. In fiscal year 2008, the USCP seeks permanent funding for these forward funded items as well as additional resources to support the Democratic and Republican conventions, the biennial promotions process, the maintenance of security and other systems previously purchased with annual and no-year funds and to make critical maintenance investments in IT infrastructure. The major increases for the non-personnel request for the United States Capitol Police includes:

- \$8,163,600 is for *Information Systems*.—Information systems increases are related to contractor support for the radio system previously transferred from the Senate as well as costs for command center maintenance, communications support activities, licensing and support of new systems, life cycle replacement and repair of computer equipment and peripherals.
- \$4,193,620 is for *Security Services*.—Security services' increases relate to the maintenance contract and other items that were forward funded, and life cycle replacement items.
- \$4,641,500 is for *Protective Services*.—Protective services' increases are primarily related to convention support for the Democratic National Convention (DNC) and Republican National Convention (RNC). The DNC and RNC are scheduled for August 2008 and September 2008 respectively.
- \$2,218,500 is for *Human Resources*.—The human resources increases include an increase for the National Finance Center computer programming for workers' compensation and time and attendance upgrades, the sworn promotion process contract (occurs every two years), funding for the tuition reimbursement program, as well as the addition of a system module for sworn manpower scheduling that is expected to improve the efficiency of scheduling the 1,671 sworn manpower assets that are currently managed through a manual process.
- \$1,358,500 is for *Logistics*.—Increases for logistical operations consist of uniform refreshment, outfitting the Practical Applications Center at Cheltenham, MD, and vehicle repairs, service and maintenance.
- \$1,385,500 is for *Planning and Homeland Security*.—Increases to Planning and Homeland Security consist of the security control operator's contract, which was forward funded.
- \$585,400 is for *Financial Management*.—Increases to financial management are attributed to increased costs for the financial management system, continuation of the help desk, and contractor support for accounts payable.
- \$177,680 is for *Training Services*.—Increases to training services include costs related to role players for training exercises at the Practical Applications Center in Cheltenham, MD and training for instructors requiring certification.
- \$771,700 represents increases to other areas of the department that primarily support newly requested personnel, increases requested by the Office of Inspector General, as well as minor increases to training, contractor services, and supplies.

The U.S. Capitol is still faced with numerous threats, including a vehicle-borne explosive attack, terrorist-controlled aircraft attack, armed attacks on the Capitol Complex, suicide bombers or positioned explosive attacks, chemical, biological and/or radiological attacks, and attacks on Members and staff as well as ordinary crime. To accomplish this mission, the Department will continue to work diligently to enhance its intelligence capabilities and provide a professional 21st Century workforce capable of performing a myriad of security and law enforcement duties, supported by state-of-the-art technology to prevent and detect potential threats and effectively respond to and control incidents. With the help of Congress and the Capitol Police Board, the Department will continue developing professional administrative capabilities based on sound business and best practices, while raising the caliber and capability of its sworn and civilian personnel.

The United States Capitol Police must maintain the ability to be prepared for any situation. The attainment of that goal depends, in part, on having the right strength and the numbers of well-trained and prepared people, organized into an effective and flexible blend of capabilities and skills. The Department continues to prepare and train officers by holding Department-wide intelligence briefings when significant or critical information is gathered; disseminating intelligence and tactical information in daily roll-calls, and conducting field and table-top exercises in efforts to equip officers with the necessary tools to do their jobs. Additionally, the Department's officials routinely participate in a wide-range of table-top exercises with top experts from Federal, state and local law enforcement.

As Chief of the Capitol Police, I take great pride in the accomplishments of the men and women of the Department. We at the United States Capitol Police look forward to working collaboratively with the Congress to continue to safeguard the Congress, staff, and visitors to the Capitol Complex during these challenging times.

I thank you for the opportunity to appear here today and am ready to address any questions you may have today.

#### SECURITY ON THE CAPITOL CAMPUS

Senator LANDRIEU. Thank you very much. I do have some questions and I would like to begin. We'll do probably 5-minute rounds and just see how the time goes.

Mr. Gainer, I have spoken with you about this issue several times and I want to address this issue in my first question. Too many Members have expressed to me a concern about turning the Capitol into an armed encampment and while we want to be very careful and understand the need to step up security, we understand the breaches that have occurred and why it is important to make it secure.

We also want to balance the need for security with the openness that we need to do our work effectively and efficiently throughout the day as well as keep the spirit of the Capitol, which is very important, a spirit of openness, trust, and friendliness actually. So it is a very difficult balance. When people go into maybe a courthouse or they go into another Federal building, I don't think they expect openness and friendliness. But they do expect openness when they come here to the Capitol, that they own. This is their Capitol, it's a symbol of their democracy. There is a lot about this building that's very different than any other Federal building that we protect and secure. So achieving that balance here is very important to me. Can you explain how you're trying to reach that balance, if that is an objective of yours? Do you share that or do you have questions or disagreements about that?

Mr. GAINER. I certainly don't have any disagreements. Both Chief Morse and I are united in our belief as is the Police Board, about the necessity to keep the Capitol open and very viable. Over the 4 years I had the chance to lead the Capitol Police, I think the men and women went out of their way to be both welcoming and helpful even as they stood ready to ward off someone who might attack.

In both of our opening statements, we concentrate on the antiterrorism approach, but there will be some 12 to 15 million visitors to Capitol Hill, as well as the 30,000 employees for which everything is really pretty seamless as they come through.

I think with the proper mix of technology and making that technology nearly invisible to everybody; with having men and women of the Capitol Police understand their roles; and with the Senate Sergeant at Arms staff, whether it is the doorkeeper or the appointment desk or the people cleaning the floors, greet visitors and make them feel comfortable, we can achieve that balance of security and openness. But we are not going to be able to take away, for instance, the heavily armed offices on the Senate side of the east front.

The opening of the CVC, which as I said is actually more work because there are more doors to be manned, will increase the flow

of people and make it seamless as we go in. But we do need to be vigilant.

#### U.S. SECRET SERVICE SECURITY ASSESSMENT

Senator LANDRIEU. Okay. The U.S. Secret Service recently completed a security assessment of the Capitol complex and made recommendations regarding the security of the complex. Can you describe the scope of this assessment? Did it include the entire complex or the Capitol Building only? How are you collaborating with the Capitol Police to address the recommendations made? What is the timeframe for addressing these recommendations? I'm assuming that some of this review was classified, but what is not classified, if you could share with us, I'd be appreciative.

Mr. GAINER. From a macro view, let me say that the survey that was requested by the Police Board, at the direction of the committees, really covered the Capitol Square complex more than it did the office buildings. If we just put that one aside for a moment, there have been ongoing and other studies of the other buildings and we haven't cast those aside. As to this particular Secret Service study, which is a classified document, the Police Board has directed the Department and each member of the Police Board, the House Sergeant at Arms, myself, the Architect of the Capitol and Chief Morse, to put together a working group to review that security survey and categorize its findings into action items that can be done today, mid-term, and then longer term.

Looking at it from a people point of view, a technology point of view, and a cost point of view, at the direction of Chief Morse, as that study was conducted some issues were identified that could be fixed immediately and some have been implemented. There were about 200 recommendations and we're working collaboratively with the Architect of the Capitol and the members of the Police Board to implement them.

I brought on board retired Chief Ramsey from the Metropolitan Police Department, a 37-year veteran of law enforcement—he's the chairman of the International Association of Chiefs of Police, Homeland Security and he has studied and consulted in Northern Ireland, England, and Israel. So I think with Chief Ramsey and along with the members from Phil's team and the other members of the Board, we're in good stead to analyze the recommendation and implement as we can.

Senator LANDRIEU. Okay. I'm going to review some of those recommendations and, of course, the Senators have clearance to do so. But we want to be sensitive that the Secret Service's primary mission is to guard the life of the President and to keep the White House safe. The White House is not the People's House, it's the President's house. But the Capitol is the People's House and the Secret Service has to understand while we're very happy to have their recommendations, and we will absolutely take them seriously, it is not the same thing guarding the White House as guarding the Capitol.

Mr. GAINER. Yes ma'am.



## RISK AND VULNERABILITY ASSESSMENT

Senator LANDRIEU. I understand you have efforts underway to assess the risk and vulnerabilities, including the Senate's State Office Preparedness Program. To what extent are the results of these assessments shared with the Capitol Police who might also benefit from the results of these assessments?

Mr. GAINER. The work that portion of the office does is very much done in coordination and cooperation with the Police Department. Several of Chief Morse's people are actually involved and do some of the onsite work. So it is collaborative. When we are looking at the physical security, we also discuss continuity of their own operations and continuity of the Government from their perspective. We do work closely together with the police. We try to make it as seamless as possible. We consult with some of the experts on Chief Morse's team because of their expertise on physical security. So we are linked and will continue to be so.

## TELECOMMUNICATIONS MODERNIZATION PROGRAM

Senator LANDRIEU. This subcommittee has provided over \$20 million in funding for telecommunications modernization. While I agree these upgrades were needed, I'm curious to know what the program entails and where we are with this particular program. It's a considerable amount of money. Why is it necessary? Where are we? What are our goals and objectives?

Mr. GAINER. The telephone modernization program was one of the things I asked about during my first couple of days as Sergeant at Arms. I had just come from a corporation, L3 Communications, where we had voice over Internet protocol and I saw the magic of that system, which is used in most major corporations across the United States to link computer work, telephone calls and scheduling and meetings.

I understand we're about 10 percent into the design phase of that program and over the next 12 months the design will be completed. The contract was left to the vendor to do that. The upgrade program will affect our telephone switch, the blue button phones that the Members use, and the audio-teleconferencing group alert, and voicemail systems. It really will bring the Senate community into the overused phrase—"the 21st century."

I know that our CIO is concerned about introducing it, and making sure that the training for the community is available. Again, with my limited experience in the corporate world, I think people will be bedazzled and wonder why we didn't do it sooner.

## IMPACT OF THE CAPITOL VISITOR CENTER DELAY

Senator LANDRIEU. Thank you. The subcommittee has spent a lot of time over the years performing oversight on the Capitol Visitor Center construction project. It now appears that the opening date has been delayed again to the spring or early summer. Will this further delay in opening have any impact on the operations of your office?

Mr. GAINER. Indirectly, it may be a bit more costly because the movement of our studios into the CVC has been contracted out and I understand we have to re-evaluate our moving plans because of

the delays. We are adjusting for that. The delays are actually having a domino effect on the movement of some of our offices to the CVC. We're trying to be efficient in Postal Square, and some of the offices ultimately will be moved from there and to the CVC. It is something we are on top of. It is not inexpensive. The delay might cost an additional \$1.5 million or \$2 million to adapt our plans to the new time line. But we're aware of the delay and we're working on it.

Senator LANDRIEU. Okay and Chief, I will ask you one question and then shift to Senator Allard and then we will go to a second round if we need to.

#### GOVERNMENT ACCOUNTABILITY OFFICE REPORT RECOMMENDATIONS

In response to the GAO report on your efforts to improve management, and I know this is a focus of yours, please update us in a little bit more detail than you did in your opening statement about the status of your efforts to implement some of GAO's specific recommendations and what your specific timeframe is for addressing all of the outstanding recommendations that this report has indicated?

Chief MORSE. Thank you, Madam Chair. First, I also have the same concerns as you do in the information that was contained in the GAO report. What we are doing is very aggressively working to extract the things we need to work on and prioritize them. What has helped us do that is the inspector general as well as the CAO's office are working very hard to remedy that situation.

We have put in place an internal controls process, which is helping us manage and meet the performance measures that we need to accomplish that goal. We are assessing each process that we do in bringing forward best business practices, repeatable, and validated processes, so that we don't continue to go down this path.

The timetable that we plan to sort of connect the dots and bring all this together is really dependent on how well we complete the things we're doing in the Office of Financial Management.

Asset inventory—we have a human capital plan. We have a manpower study so we are incorporating all of those things into an action plan that Mr. Stamilio, our CAO, has put together.

Connecting the dots—and we hope to be able to do this, a great deal of the most important issues by the end of this fiscal year. So as we meet today, we are meeting with GAO across the street. We have established a relationship with them. We have put our people together in a very cooperative effort to resolve the issues and they have been extremely helpful.

The final thing is, there is accountability and I have put in place, along with the Assistant Chief and our CAO, accountability at all levels. And accountability also includes perhaps even personnel changes. So we are very aggressively working on this. We understand the concerns and we understand the importance of getting our management in order.

Senator LANDRIEU. Thank you. Senator Allard.

#### DEPARTMENTAL ACCOUNTABILITY

Senator ALLARD. Madam Chair, I'm going to follow up with Chief Morse since we are on that subject. I really think for management

by objectives to work, every police officer has to buy into that and I think every division inspector that you have, has to buy into it and has to work with each sponsor. I think both the Chair and I would like to see us be able to do a lot for the Police Department but in order to get our colleagues to understand, we have got to have this accountability and assurance that things are managed well. It is easier then for them to approve some sizeable increases.

I'm not denying we don't have some problems there and I think you've got a horrendous job ahead of you because other people before you have not been that successful in pulling things together. So I think you really have to get everybody to buy into it.

#### SENATE SERGEANT AT ARMS STAFFING LEVEL

I'd like to ask a few questions to you, Mr. Gainer. You've identified in your own remarks the increase in employees that you've requested of 19 and the Chairwoman has mentioned it. It is a sizeable increase. I understand that there are issues that are driving this—security issues, the CVC, technology.

When do you see this annual staff increase plateauing and when can we begin to say okay, we're where we should be. We've taken care of our security needs and everything. Do you have any idea when we might reach this plateau?

Mr. GAINER. Senator, I think we're close but strangely enough, at least for an old sociologist street guy like myself, technology seems to keep driving the need for more people. I think there is a thought sometimes that when you introduce technology, you can remove the person, but when we keep increasing the technology, we are adding complexity and there will be a need for more people to maintain and support that technology.

When I went over this budget upon arrival here, I sat down with my staff and asked a very similar question and no one said that this was it and I can't tell you that it is. I think as we get the recording studio up and running or printing and graphics and our network engineers implement the voice over IP protocol, it will be close.

Technology will require additional people. Having said that, I also ask if we improve technology and do away with the human element—does that mean we can attrite those people out or lose those positions? And what we are trying to do where increased technology requires more staff, is to train existing staff and bring them up to speed. So I don't see an end in sight. I hope it will moderate in the future.

Senator ALLARD. Well, thank you and I recognize the challenges you face as far as technology. At some point here, SAA should begin to level off.

Mr. GAINER. I think that is a good point. I think we will be getting close to leveling off.

#### SECURITY IN THE CAPITOL COMPLEX

Senator ALLARD. Very good. I would also follow up on Madam Chairwoman's comments on security, the degree of security we have around here. I think most Members of Congress are fairly comfortable with a lot of the security that you have to have.

The one thing that really raises their ire on my side of the aisle and I think on her side of the aisle too, is if anybody mentions a fence around the Capitol. That has been mentioned before and I've had to deal with it in my conferences and I'm sure it has been brought up in her conference too and that just brings everyone up off their chair. I know there is a fence around the White House, but it's not something that would be acceptable here so we have to look at other ways in order to secure the Capitol.

#### SERGEANT AT ARMS COMPREHENSIVE STRATEGIC PLAN

Last year, your predecessor, Bill Pickle, testified that the Sergeant at Arms was working on developing a comprehensive strategic plan. Can you describe how your office uses performance measures to ensure it is meeting the needs of its clients in a cost-effective and service orientated manner?

Mr. GAINER. Yes sir, I can. In fact, we left at your desk place, our strategic plan that was developed under Bill Pickle's guidance and by many of the people sitting behind me. And I will note, if I may, on page 11 you'll see an example of how we've taken performance and accountability very seriously and then tied in an example of our performance metrics.

So we have the main strategic points, which are then broken down into the different divisions, and down to section levels where those performance levels and metrics of success are indicated. For instance, in the human resources section, 100 percent of employee performance evaluations will be completed on time. In technology, the help desk and computer customer satisfaction will be a minimum of 95 percent, or accurately sorting and delivering mail from the Postal Service on the day it clears testing will be 100 percent.

This is but an example of how we are implementing our straightforward strategic plan to turn our vision and mission into concrete performance goals with realistic measurement standards and tools. We do take this seriously.

#### ROLE OF FORMER METROPOLITAN POLICE CHIEF RAMSEY

Senator ALLARD. Well, thank you. I think that is a step in the right direction and I urge you to continue those efforts. Also, I understand that you've hired former D.C. Chief Ramsey. Would you share with me what he will be doing, again without compromising security, give us an overview of what he will be doing.

Mr. GAINER. Yes, Senator and Madam Chair. One of the major duties he is performing is a review of the Secret Service study that we mentioned earlier. Chief Ramsey, in his capacity of working for me and, I, in my capacity as the Board Chair, are the coordinators of the Board's effort to take that plan and see what is viable, what would work here, what needs to be implemented, has already been implemented, or can be implemented in 30 days, 90 days, or 120 days and how it may affect the budget.

His major contribution will be to concentrate on that security plan, but also he's already engaged with the Capitol Police and others to review a number of the other studies that have been undertaken.

## PRIORITIES OF THE INSPECTOR GENERAL

Senator ALLARD. Thank you. Do you have the inspector general with you today?

Mr. GAINER. We do have him, Carl Hoecker.

Senator ALLARD. I would like to ask him a question, if I may.

Mr. Hoecker, you've been on board now since July. The inspector generals are the eyes and ears of the Members of Congress.

Mr. HOECKER. Yes, sir.

Senator ALLARD. So the reason we put inspector generals in the various agencies is so that we know what is going on as far as management issues, and fraud, waste and abuse. I'd like to hear from you as to your priorities and what you see as the biggest challenges facing the United States Capitol Police?

Mr. HOECKER. If I can, I would just kind of read from the notes here that kind of, in case this happened then I think it will answer your question, sir.

As you've said, I've been on since July. In these 9 months, the OIG has done the following major items. We hired staff, established administrative systems and processes to manage the OIG, developed a strategic plan that is linked to the Department's strategic objectives, we have an annual work plan, which is on track and that annual work plan is where we focus on our priorities, sir.

In October we developed the first semiannual report to Congress and we've identified management challenges for the Chief, which the Chief has factored into his priorities for the Department.

We have issued three full reports and we have four ongoing projects right now. The management challenges, the first of the top three, financial management, human capital, and security. I've had discussions with the Chief on a weekly basis in terms of how best I can positively help the organization more up front than consultative type arrangements working on business processes improvements as I'm walking through the organization in that type of an arena, sir.

## SEMIANNUAL CONGRESSIONAL REPORT

Senator ALLARD. It is my understanding there was not as much substance as we would like in your semiannual report. I would urge you to give us more detail of what you are finding and what your recommendations are. That is real important, particularly as we are focusing more on financial accountability within the Capitol Police.

Mr. HOECKER. Yes, sir.

## CHIEF MORSE'S DEPARTMENTAL VISION

Senator ALLARD. Chief Morse, again I want to congratulate you on your position. Can you describe your vision and plans for the agency and tell us whether you intend to make any significant changes to how the agency operates?

Chief MORSE. Thank you, Senator. My vision for the Police Department is to build on the very strong foundation that we have in place from my predecessors. We're working toward being a premiere law enforcement agency and in order for us to do that, initially, we're trying to—or my vision is and you talked about inclu-

siveness earlier and we have put this vision out from the top down and that is to instill the core values of the Police Department—to be unflinching, sincere, courteous, and principled.

With that, we marry that up with the best business practices and repeatable processes, internal controls and we're linking that with our strategic plan and our business plans to ensure that we're doing the things necessary to take care of our people and to make the best security for the complex itself.

We're going to be concentrating our efforts this year on connecting those dots and working with the inspector general and our CAO. We hope to meet those major challenges that we've identified in the GAO report as well as the ones that we're identifying.

What is most important is the inclusiveness of everyone in the organization. One of the things I did initially was to establish an executive management team, a senior management team and first line supervisors' and officers' management team. Everything that we are doing, everything that we are evaluating, each one of the studies that we are conducting is inclusive of everyone from the top down. I believe that meets your challenge that everyone be on the same page.

With that, we're also improving our relationships not only with the community and stakeholders, but also with Members of Congress. I meet routinely and I've met with you and have had very good discussions. I meet with Mr. Gainer and Mr. Livingood routinely and we also have an effort to reach out to our community with our Community Outreach Program.

So we're being very inclusive of everyone and we're being professional in that we're establishing business processes for everything that we do, we're measuring our success, we're holding people accountable and we're ensuring that our stakeholders are well informed of what we're doing all the way.

#### NEW CIVILIAN POSITIONS

Senator ALLARD. The additional 30 civilian staff you have requested include four for the Office of Financial Management. Is this enough to stabilize this office and address completely the GAO recommendations and complete a full financial audit?

Chief MORSE. There was a study that was conducted on manpower within the Office of Financial Management and realizing some of the fiscal restraints we were being measured in our requests for four. I believe the actual number was eight that the process brought about, but we're working with four. But the way I feel about it is we need to get in there and make these corrections that need to be made in order to get a better assessment of where we are, so we want it to be very measured in asking for people for that area.

Senator ALLARD. So four is going to get you started, but at some point in time you may have to have an additional four. Is what you're stating?

Chief MORSE. Well, there certainly could be a possibility that we could ask for more people. I would hope that we would be able to instill the internal controls that we need, make the changes and put the accountability there so that we get the most effective and efficient use of the people that we have.

## CIVILIAN POSITIONS IN OFFICE OF FINANCIAL MANAGEMENT

Senator ALLARD. How many people do we have in that office now?

Chief MORSE. The specific number—27.

Senator ALLARD. In the Office of Financial Management you have 27?

Chief MORSE. Yes, sir.

Senator ALLARD. So these four that come in—what will they be doing?

Chief MORSE. Let me just take a quick look and I can give you the breakdown. The request is for two in accounting and two in budget.

Senator ALLARD. Is that going to be enough in that area for you to meet the GAO recommendations?

Chief MORSE. For the budget and accounting portion, yes. The additional four are in other areas of financial management but we saw these as the priorities to help us with the challenges that we currently have.

## MANAGING VISITORS TO THE U.S. CAPITOL

Senator LANDRIEU. Let me follow up with just a couple of thoughts here. Getting back to the notion of making this building work for everybody that uses it, from Members to staff. I know lobbyists have a bad name but they actually do good work here by bringing issues to Members and representing our constituents. They are in and out of this building all the time.

There are tour groups that come regularly and then there are the occasional tour group, the groups like Close-Up that every year bring thousands of young people because we see them in our offices. Before I was a Senator, I actually came up as a Close-Up student. So I look forward to meeting the Close-Up groups all the time. Then there are any number of other organizations.

Just as an observer, as I'm moving around the Capitol complex, I notice particularly in the spring, the March/April, May, and June, the very long lines of people trying to get into the building. Are we making any plans or do we have any ideas about how we could sort in a better way, the visitors? Not to stratify them but to allow the people that are working staff professionals, to move a little more quickly. Obviously the students and the tourists who are not on direct assignment can move a little differently. Have we ever thought about that? Or is it just a matter of manpower? Mr. Gainer, do you want to take that, or Chief Morse?

Mr. GAINER. Go ahead and start.

Chief MORSE. Well, I think with the CVC coming on board, there is a lot of effort and signage and people hired to give direction and move people. It is a centralized point of screening for us, which helps security but it's also a much easier access point than we find here in some of the buildings.

We have very tight access points and spaces, which I think contribute to a lot of the slow down in processing. Certainly officers work very hard at processing people into the buildings and the technology we have is the best in the world. So I think there is

probably more effort in signage and direction and perhaps even some changes in the locations that we bring people in.

#### VISITOR STRATIFICATION

Senator LANDRIEU. Well, I just want to press this issue and I'll do this here and continue to work with you all on it. Have we developed a difference between a casual visitor and a business visitor? Yes or no?

Mr. GAINER. Well, there have been discussions about stratification. Over the years, we've all discussed the fact that, on some days, it seems strange that we would give as much scrutiny to a person who has been employed here for 25 years as someone who might visit for 1 day. There were discussions about whether there would be a frequent visitor procedure, similar to that the FAA and TSA are using. But even as to staff, when you start thinking that staff can be treated one way and visitors another, we have a circumstance, not more than 1 week ago, where we had a gun being brought in by a staff member, inadvertent as it may have been. So it just makes everyone pause as to how different procedures for staff and visitors could work.

Senator LANDRIEU. I agree and I'm not actually suggesting that because I don't agree that there should be different levels of security. But I'm suggesting that there might be different lines with similar security. Identical security required, but waiting in line for a casual visit for 45 minutes is not a problem for a Close-Up student. It is a major problem for a constituent that has a scheduled meeting with a Senator or a House Member, led by a mayor of whatever town, large or small or a meeting. People are having difficulty getting to their meetings. Now, not to say that students should be second class—please, don't anyone interpret what I'm saying and I am also not saying that there should be different levels of security. I think there should be very serious security.

But as this visitor center opens, I'm going to work with Senator Allard and our other members to see if there is a way that we can make the work of the people more efficient. For everybody that has to wait in line 45 minutes, there is somebody else at the other end sitting and waiting for them. Schedules are getting mixed up all through the Capitol.

#### TUNNEL ACCESS

The other question is, I understand that you used to be able to walk from under the House to the Senate and vice versa and that access has been closed off. Is that correct, the tunnel has been closed off?

Chief MORSE. That is correct. You cannot move from the House side to the Senate or vice versa.

Mr. GAINER. Unless you have an appointment. If there is an appointment, there is a process, that if you are on one side and have an appointment on the other side, for the appointment desk, to verify that appointment and then let you pass through.

Senator LANDRIEU. Okay, so if you do have an appointment, you can pass through the tunnel underneath the House and the Senate. Because again, I'm just sensitive to the constituents that huff and puff and pant into my office and they constantly say, "Senator, I



wish we could have been here but we were in line.” Or, “Senator, I wish we could have been here but we had to go a circuitous route to get to you.” I just want to be very sensitive to them and of course, the people we serve.

Let me just see if there are other questions and I’ll turn it back to Senator Allard.

#### COORDINATING WITH SURROUNDING LOCAL POLICE DEPARTMENTS

Before I was the Chair of this subcommittee, I chaired the D.C. Subcommittee and also was Chair of the Emerging Threats Subcommittee on Armed Services and we did a lot of work before and after 9/11 to make sure that the Capitol complex and our security was coordinated with the D.C. Police, with the Maryland law enforcement and Virginia law enforcement in the event that there is a serious situation as did occur on 9/11. Evacuating hundreds of thousands of people from this core out takes a lot of cooperation in terms of the Metro, in terms of which way the highways are moving, et cetera. Could you all both just give me a brief update, about the ongoing efforts to be cooperative with the D.C. Police and the Maryland and Virginia police operations? Mr. Gainer, maybe we could start with you and then I’ll talk with the Chief.

Mr. GAINER. Thank you, Madam Chair. We certainly did learn our lessons after these incidents. While I was the Chief, one of the many things that was done was station a Metropolitan Police officer in the command center, in addition to the ring down phones and the constant communications. But that was the perspective 1 year ago, so Phil can tell us where we are today.

Chief MORSE. We’re also—the Chiefs of Police in this area meet routinely once a month and also we have a telephone conferencing that we do, which has developed over time. We have those conferences when there is a threat that each one of us needs to know about. So there is a lot of coordination with the local law enforcement.

One of the things, as you bring to our attention, is not only in the municipal area but also Maryland and Virginia. Our radio system, as far as communication is concerned—in an incident where we would have to evacuate the city or Capitol Hill, in a critical incident where we need the support of other law enforcement agencies, our radio system does not allow us the interoperability with them.

Many of the State, local, and Federal law enforcement agencies have interoperable radio systems so one of my priorities is to modernize our radio system so that we can meet that expectation, especially in a critical incident, where we can coordinate our efforts.

Senator LANDRIEU. Well, let me really strongly encourage you, having survived through Hurricanes Katrina and Rita and the total collapse of the communications system that existed during those natural disasters. Then, of course, we all went through the 9/11 experience here—that that is one of the absolute fundamental critical tools necessary to manage people fleeing in an orderly way that doesn’t cause panic and more death and injury, et cetera.

So I really want to encourage you all and I can say that Senator Allard and I will work with you every step of the way to try to press this interoperability. There are some extra monies being ap-

propriated, as you know, in the other budgets. I know that there are serious needs around the country but I think we could successfully argue that starting at the Capitol for interoperability would be the highest priority for the Nation and for this region, to become as interoperable as possible as soon as possible. So those are the questions that I have. I'll turn it over to Senator Allard.

#### STAFFING AND OVERTIME

Senator ALLARD. Thank you, Madam Chair. There are two other issue areas I want to cover, one on staffing and overtime and the other issue has to do with the Library of Congress. We'd like to get that resolved as quickly as possible.

On staffing and overtime, I have been through the Capitol at various odd hours, on the weekend, sometimes in the middle of the night, at around 10 o'clock to 1 o'clock in the morning, I've been through the Capitol early in the morning on weekdays and sometimes late at night. I've been pretty pleased with the level of security.

At one point in time, particularly right after 9/11, I think perhaps we had too many people standing around after hours but I understood the urgency of the situation at that time. So I think everything has generally operated pretty efficiently from what I can tell. I know that there are some entrances that we used to keep open almost all the time. We've closed those down.

As a Member of Congress, I haven't found it particularly inconvenient. I think you've used good judgment in that, as long as we can figure out which gate to come in, we're okay. I look in the budget and I see overtime would increase 15 percent over last year's level and I'm trying to understand what's happening here that we have to increase overtime so much? What is driving that?

Chief MORSE. Well, the fiscal year 2008 overtime estimates were based on the last 2 fiscal years and what we actually spent. But with that comes some additions in 2008 that we just started experiencing here in 2007, are demonstrations. We have a convention in 2008 that will drive some overtime but what we are doing to ensure that we're getting the best bang for buck is we've educated our managers and we've made it a performance measure that they meet expectations that the Assistant Chief has set for them as far as internal controls and managing their overtime.

The second part of that is the manpower study. We have to ensure that we use our people in the most efficient and effective manner and with this manpower study, they are looking at every single process and everything that we do as far as manpower is concerned. So we hope to be able to reduce that and find a balance here in the near future.

But for 2008, our concerns are for the number of demonstrations, the increased workload of Congress and the conventions that are upcoming in 2008.

Senator ALLARD. Is the Capitol Visitor Center driving that need for additional staff or have you already compensated for that?

Chief MORSE. We've already compensated for that in our initial estimates but as operations change, designs change, brings more people to do the job and if you don't get the people, then it drives overtime.

Senator ALLARD. I'm not entirely satisfied with your response, particularly in light of the fact that we've already compensated for the CVC. Maybe we can sit down and go over that, have a meeting and see what you're looking at.

Chief MORSE. Sure.

#### LIBRARY OF CONGRESS POLICE MERGER

Senator ALLARD. On the Library of Congress, Dr. Billington has expressed concerns that the Library is not getting their vacancies filled. There are some 22 vacancies over there, apparently. We've been pushing to merge the Library of Congress security with the Capitol Police so that everybody is operating with the same standards and the same level of protection. Dr. Billington has expressed some concern about those vacancies. What's going on there?

Chief MORSE. Well, in regards to personnel, we met with the CAO of the Library approximately 2 weeks ago to come to a number because there have been many numbers out there and 17 was the number.

Senator ALLARD. So there are 17 vacancies?

Chief MORSE. That's correct. We have a recruit class, which is in field training right now and will complete that April 22 and April 23, we will be sending 10 officers to the Library of Congress. That number was derived by looking at security campus-wide because we have not only a responsibility at the Library of Congress, we have a responsibility campus-wide. We have to ensure that load leveling was equal there and that we weren't sacrificing any security or manpower here.

Senator ALLARD. Particularly with that tunnel that we're putting in there.

Chief MORSE. Yes. So there are some issues that have to be resolved. We're certainly trying to execute the will of Congress here. We've identified issues and we have put our recommendations into a decision paper for the Capitol Police Board to help us facilitate.

Mr. GAINER. May I add, just recently, the Police Department did give the Board recommendations and the onus is on the Police Board now to take some action. We'll move on it very quickly. We have a series of things that we think needs to be done in order to expedite the closure of this long-term issue.

Senator ALLARD. The Congress has spoken on this.

Mr. GAINER. Yes, sir.

Senator ALLARD. We want to have a unified security force and I think the sooner we can get this resolved, the better. I'd like to get it off our plate and I'm sure you'd like to get it off your plate.

Mr. GAINER. Yes.

Senator ALLARD. Now, do you see any major roadblocks in getting this finalized?

Chief MORSE. The Capitol Police support the merger in that we want to execute the will of Congress. So there will be challenges here. We've identified issues that need to be resolved. I don't think that they can't be resolved with people sitting down and discussing them but I think that they are critical and they need to be resolved to the satisfaction of Congress and certainly any liabilities to the Police Department, et cetera, have to be examined very closely.

Senator LANDRIEU. If you don't mind, I may ask Senator Allard if he would, to facilitate that meeting. I intend to push on that legislation, to merge the Capitol Police with the Library of Congress Police. It was done last year but I don't think it passed completely through the process. So I think the Members of Congress feel like this is what we should do but we need to go ahead and try to bring that to closure this year and work out the details.

#### UNITED STATES CAPITOL POLICE SALARY BUDGET INCREASES

I have one more question and then I'm finished. I don't know if Senator Allard has anything else but I asked the staff to put in graphic form, the increase in the salaries of the Capitol Police and you can see, it's fairly dramatic when you look at it here. In 1998, the salary level looks to me on this graph to be about \$70 million. Now we're up to \$220 million in a relatively short period of time, from 1998 to 2007.

Now, 9/11 happened here and the attack on the Capitol and we've had other incidents that are driving this. There has been an increase of the need for security in all of Washington, DC, so I'm sure that's been a factor in driving up salaries, et cetera.

But Mr. Gainer, would you comment on your perspective of this increase and then Chief Morse, about how this is fairly significant? What are we starting our officers or what is our current salary range for them? And why or how would you justify this increase? I realize you all weren't in charge in all these years but as you can see, this salary for officers is from \$70 million to \$220 million in just a few years.

Mr. GAINER. If I may, I would like to address that as the one who was in charge over these past 5 years. To the extent that Chief Morse and his Deputy inherited a Department that is not perfect yet, I take responsibility. We tried to lay the foundation but the cracks in that foundation happened under my watch and I think Chief Morse and his Deputy will be better Chiefs, and I applaud them.

But the ultimate accountability is mine. The numbers grew under my watch, with the work of the Congress because of the expanding mission requirement. The individual salaries have been driven because competition is unbelievably tough in this area between these multiple jurisdictions, to attract these individuals. So we have fared better than almost any police agency to hire highly qualified people. So that goes to the size of their salary, and, I think during the 4 years that I was there, we added nearly 400 officers for the different missions. It is mission driven. When we get back to that question, how do we secure it and keep it open and make it convenient for everybody, it is personnel driven.

#### COMPARISON OF UNITED STATES CAPITOL POLICE SALARIES TO LOCAL JURISDICTIONS

Senator LANDRIEU. Well, could you just submit for the record and I don't know, Chief, if it would be better for you or for Mr. Gainer, to submit the regional salary levels. I'd just like to know. I think this subcommittee would like to know, what the State police in Virginia are making? What are the State police in Maryland making? What the local police officers here that you're competing with are

making so we can review. I'm sure your Board does that but I personally would be interested in that information if you'd submit it to the subcommittee.

Mr. GAINER. Yes, ma'am.  
[The information follows:]

#### COMPARISON OF STARTING SALARIES BETWEEN USCP AND LOCAL JURISDICTIONS

The Department continues to be a model employer and a competitive leader in the law enforcement employment market when it comes to starting salaries for new recruit officers as well as pay at most levels. During the past year, the Office of Human Resources has worked with other Federal, state and local government entities in several compensation symposiums for market pay analysis. During these semiannual meetings, human resources personnel compare job titles and duties, entry-level and journey-level pay averages, and share information on recruiting trends and separation statistics. Many of these local entities are required from their governing authorities/boards to obtain data, to the extent possible, from USCP when determining their pay recommendations. The entities that the Department routinely works with are Fairfax County, Loudoun County, Prince George's County, Metropolitan Police Department of Washington DC, Montgomery County, and others within the Washington DC Metropolitan area. The Office of Personnel Management lists the USCP in its 2004 study of law enforcement officer (LEO) pay and benefits as having the highest starting salary of all Federal law enforcement entities. It is important to note that 2 Federal organizations, the Library of Congress and the U.S. Supreme Court are required in statute to follow USCP pay determinations and as such pay their law enforcement positions equivalently.

In 2006, the USCP matched its entry level officer positions with those of other local law enforcement jurisdictions as positions that patrol assigned areas, enforce security and protection, assess threat environments, investigate a variety of criminal offenses involving crimes against property, participate in investigations of crimes against persons, etc. Positions at USCP require a high school degree or equivalent and completion of police recruit training. The data highlighted in the chart is the result of the Department's participation in local market survey analysis as administered by Fairfax County for 2006.

#### SURVEY OF ENTRY LEVEL COMPENSATION FOR LOCAL LAW ENFORCEMENT IN THE WASHINGTON, DC METROPOLITAN AREA

Police Organization	Position Match 2006	Min	Mid	Max	Average Actual	No. in Survey Pool
Alexandria .....	Police Officer I .....	43.0	57.1	71.1	45.1	89
Arlington .....	Police Officer I .....	44.6	59.2	73.8	46.8	58
Capitol Police .....	Private-Priv w/Training-PFC .....	48.4	67.8	87.1	51.0	99
District of Columbia .....	Police Recruit .....	46.4	57.5	68.5	.....	.....
Loudoun .....	Deputy I (Field/Civil Process/Community Policing).	40.3	52.4	64.5	47.7	54
Montgomery .....	Police Officer I .....	41.6	55.7	69.7	44.5	115
Prince George's .....	Police Officer .....	44.1	52.6	61.1	46.0	442
Prince William .....	Police Officer I .....	39.3	51.1	62.9	41.4	80
Fairfax County .....	O-17-2 .....	44.4	58.4	72.4	52.1	253

USCP competes in various labor markets with state and local governments for individuals with law enforcement skills. As a result of the September 2001 terrorist attacks, the Department and its stakeholders were most concerned about its ability to recruit and retain high-quality personnel for its LEO positions. Central to those concerns was the level of pay the Department was compensating its officers as compared to those of other Federal LEO positions, as well as state and local government positions. The Department was provided with authority and funding to increase the base pay structure of all law enforcement positions sufficient to recruit a significant number of new officers, as well as retain more seasoned officers to ensure institutional knowledge and experience needed to address Congressional concerns for an enhanced security and protection environment. The decision to increase the USCP pay structure placed USCP on average 4 percent above the market in which it competes.

An important factor to consider in comparing the compensation of USCP law enforcement personnel with state and local entities is the extent to which other com-

pensation factors into total compensation. For example, Montgomery County, as others, compensates new officers for Assignment Pay Differentials such as Hazardous Materials, Language Pay, etc. While USCP received authority and has implemented its Specialty Pay Program, it is typically not for new recruit officers.

In addition, USCP law enforcement positions that earn compensation for overtime work do so without the earnings being contributed to their retirement or 401K savings programs. Depending on authorities for other Federal, state and local government organizations, individuals working overtime can receive credit for retirement and 401K benefits. One significant difference in the payment of premium pay (non base pay) for USCP personnel as compared to state and local government is the limitation on the accumulation of differentials. USCP personnel are capped on the total amount of premium pay differentials earned on a bi-weekly basis. While the USCP has the highest biweekly limitation on premium pay for its non-exempt sworn workforce compared to Federal organizations, state and local governments typically do not limit the accumulation of differential pay, just the limitation on aggregate pay.

Much work has been accomplished in reviewing compensation in the Federal and state and local government law enforcement community. Most recently, in August 2005, the Congressional Budget Office published its report, "Comparing the Pay of Federal and Nonfederal Law Enforcement Officers," which describes the competitive environment for recruiting and retaining law enforcement officers. USCP has used this report to remain pay competitive in terms of looking at the total compensation package. Statistically, the critical period for USCP to achieve a return on recruiting and training investment for new recruit officers is after the first 3 years. The progression of pay during the first 3-5 years is critical to the retention of a deployable workforce. Upon promotion from Private, Private with Training and Private First Class (typically after 30 months), individuals are limited in seeking other employment as their salary in the grade is significantly higher than most Federal and state and local governments and to leave USCP service would typically result in a decrease in pay and law enforcement service credit. Service under USCP as a law enforcement officer is not creditable service under other Federal LEO retirement systems. In order for an LEO to leave USCP for other Federal service, he/she would have to start over their retirement service credit.

USCP recognizes that other law enforcement entities deploy attractive recruitment strategies designed to capture high quality and Federally trained (at the Federal Law Enforcement Training Center) individuals. The Department has not experienced a significant increase in attrition such that it would require the department to offer recruitment bonuses. While USCP has had several individuals leave USCP service for other Federal, state and local government employment; their responses on exit surveys indicate that compensation was not a significant factor in their decision to leave the Department, but rather individuals indicated their decisions to leave were for personal and/or professional reasons.

Although USCP starting salary and benefits are competitive with local agencies, the potential for "moonlighting" (outside security officer employment) and other benefits offered by local law enforcement agencies might also factor into the equation and equalize the difference in compensation. Educational benefits and recruiting/retention bonuses offered by local, state and some Federal law enforcement agencies, may also prove to be a better draw for LEOs than the initial higher salary rate. Also, the USCP may not be as competitive with uniformed services in other federal law enforcement agencies. The Department competes strongly with the Transportation Security Administration and U.S. Secret Service under the Department of Homeland Security that offer a career ladder for higher paying investigative and LEO positions. In some circumstances, these agencies are able to offer opportunities for advancement and relocation. This career potential may outweigh the higher beginning salary for recruits who are planning their careers more long term.

Another factor to consider in measuring salary competitiveness in the Federal arena is that many Federal criminal investigators and other LEOs regularly receive a 25 percent supplement for overtime work—either administratively uncontrollable overtime (AUO) pay or law enforcement availability pay. While this supplement is a stable addition to salary, it is appropriately not included in salary comparisons, which compare non-overtime salary rates. Providing a virtually guaranteed 25 percent supplement gives the Federal Government a competitive advantage over USCP who does not guarantee such an overtime supplement.

USCP believes most job seekers give great weight to the total regular pay they would receive in a job, since it is that total pay that determines their standard of living. While the value of AUO pay and availability pay may not be as great as the overtime rates paid by non-Federal employers on an hourly basis, those supplements are highly valued as stable additions to salary. Furthermore, since the AUO pay and availability pay received by non-USCP LEOs is creditable as basic pay in

determining retirement and certain other benefits, the value of these payments is even greater. For example, an availability pay recipient will receive a defined benefit pension that is 25 percent higher than another employee at the same salary level. Also, Thrift Savings Plan holdings will be proportionally larger as an availability pay recipient is entitled to a larger Government match than another employee at the same salary level.

When establishing recruiting and compensation strategies for the Department, USCP strives to remain competitive given the unique security and protection environment our employees serve. It is important that our recruiting and pay systems reflect the significant mission and objectives that are fundamental to the principles of the Department.

Senator LANDRIEU. Senator Allard?

Senator ALLARD. Well, just one additional comment in that regard. I've been told that we're the highest paid police force in the country. I'd like to look at those figures, in comparison to other police forces.

Mr. GAINER. Yes, sir. Thank you.

#### ADDITIONAL COMMITTEE QUESTIONS

Senator LANDRIEU. Any additional questions from Members will be submitted to you for response in the record.

[The following questions were not asked at the hearing, but were submitted to the Department for response subsequent to the hearing:]

#### QUESTIONS SUBMITTED BY SENATOR WAYNE ALLARD

##### SWORN STAFFING

*Question.* USCP's Manpower Management Task Force conducted an internal manpower study. The goal of that study was to develop a staffing plan for efficiently managing and allocating resources based on threat. This study was completed a couple of months ago.

How is USCP using the results that study?

To what extent is the contractor using the results of the internal manpower study?

What recommendations were made in the study regarding allocating resources based on the threat?

Does USCP plan to implement the recommendations from this study? If not, what is USCP's reason(s) for not implementing them?

USCP hired a contractor (Enlightened Leadership Solutions) to conduct a manpower study of USCP's sworn staff. How will USCP ensure that it will receive useful results from this study, and how will this study enable USCP to develop and implement the congressionally mandated strategic workforce plan?

*Answer.* A high level review of the task force report has been accomplished by the USCP and appropriate recommendations provided to ELS for consideration in the overall manpower study. Other recommendations have been implemented based on our threat assessment and operational needs. The Department is working, with close support from ELS, to ensure that the broader recommendations of the task force report are considered. Senior management receives regular updates from ELS and provides course corrections as necessary to ensure useful results are obtained from the study. ELS will deliver a staffing formula for sworn officers based on our current and proposed concept of operations, which is based on the threat matrix. In effect, the USCP implements a force development process that utilizes the threat assessment to define the needs of the Concept of Operations in order to make resource decisions. The ELS study will also help to provide a methodology for the USCP to make future manpower requirement decisions and lend credible foundation for its manpower levels. This study addresses the guidance we have received in our close working relationship with GAO. This process will also lead to the eventual development of the strategic workforce plan, as mandated by Congress. This process will also lead to the development of future training plans, technology investment plans and other operational and support decisions.

## FINANCIAL MANAGEMENT

*Question.* Will USCP be able to prepare a fiscal year 2006 balance sheet with complete and accurate asset and inventory balances that will pass an audit?

Answer. For fiscal year 2006, USCP will be generating a SBR, and for the first time, a draft Balance Sheet utilizing Generally Accepted Accounting Principles applicable to federal entities. USCP will generate a full set of financial statements for fiscal year 2007, with the completion of the inventory process.

The USCP had planned to prepare a full-set of draft financial statements at the conclusion of fiscal year 2006; however the completion of the USCP inventory, which was required to validate asset balances, was delayed to April 2007. The USCP has prepared a draft Balance Sheet for 2006, but does not expect that the independent auditor will be able to validate all asset balances and would not expect a “clean” opinion on the Balance Sheet for fiscal year 2006.

*Question.* When was the physical inventory count originally scheduled to be completed? How far behind schedule is this effort? What is the current estimated completion date? Will the inventory count be completed in time for the data to be included in the financial statements for fiscal year 2006? If not, why?

Answer. In the statement of work, the physical inventory count, to include the actual count of assets owned by USCP and the valuation of these assets, had a projected completion date by March 31, 2007. Since that time, the contractor requested a thirty-day extension at no additional cost to ensure that they have adequate time to provide accurate data.

Currently, this effort is on schedule (including the thirty-day extension) and barring any unforeseen circumstances, will be completed by April 30, 2007. Once the contractor has presented all data, there are additional steps needed to complete the reconciliation. These steps include the review and acceptance, by the independent auditors, of the valuation of the USCP assets, researching and identifying the documentation that supports the valuation of each asset and final reconciliation with the financial statements presented by the Office of Financial Management. The current estimated completion date for the physical inventory count, to include the valuation of all assets done by the contractor, is estimated to be completed on April 30, 2007. This does not include the review and acceptance of the data by the independent auditors.

The inventory count will not be completed in time to be included in the fiscal year 2006 financial statements. At the conclusion of the count, USCP estimates approximately three million assets and consumables that will be identified as a result of the count. Once that information has been reviewed and approved, the formal validation and documentation of the inventory will be conducted. This work will not be completed in time for the fiscal year 2006 audit.

*Question.* What issues has USCP encountered as a result of efforts to complete a first-time agencywide inventory effort? Was the agency prepared to take on such a monumental task at the same time while implementing other agency wide initiatives (internal control program, implementation of new asset management system, etc.)

Answer. We have discovered through the inventory process that USCP has a wide array of assets distributed throughout multiple locations. Locating and identifying ownership of these assets has been a much bigger challenge than originally anticipated.

The process was unexpectedly slowed by having to coordinate with the inventory contractor, the independent auditors and USCP property custodians within each division to ensure that all assets were being properly identified and captured.

Many of these assets are constantly in use. Although legacy systems still remain to keep track of assets until collected data is uploaded into the Maximo database, there still remains a challenge. Specifically, that the movement of assets could possibly be overlooked; thus, compromising the effort of the count. Until the final transition, this will continue to be followed closely to mitigate issues.

Completion of the physical inventory is an integral step in producing a Department balance sheet, as recommended by Congress and GAO. Completion of a balance sheet is a priority for the USCP and is part of the Department's fiscal year 2007 business plan. In addition, Senate Report 109-267 directed the USCP to prepare a plan to move to a full-scope financial audit for fiscal year 2007. Although the language was not included in the final fiscal year 2007 appropriation for the USCP, the Department took the direction very seriously. Considering the time required to complete such an inventory, it was prudent to begin procuring contract support for this task in fiscal year 2006. The contract was awarded on September 30, 2006. The inventory project began on Monday, October 30, 2006, and proceeded forward as scheduled. As of Friday, March 16, 2007, the inventory project has com-



pleted 75 percent of USCP sites, with all data loaded into the asset management system.

Once the contractor has presented all data, there are additional steps needed to complete the reconciliation. These steps include the review and acceptance, by the independent auditors, of the valuation of the USCP assets, researching and identifying documentation that supports the valuation of each asset and final reconciliation with the information maintained by the Office of Financial Management.

This project represents a cross-cutting working coordination between Property and Asset Management Division, the Office of Logistics, the Office of Financial Management, the Office of Information Systems, the Office of the Inspector General, and the auditing firm of Cotton and Company. We project that, without any unforeseen issues in the future, this project will be completed to the fulfillment of the Senate direction.

*Question.* What are your plans to assess the effectiveness and validity of Momentum's processing within the unique environment at USCP? For instance, whether the electronic controls in place are performing as intended and ensuring the operating effectiveness of the USCP system and internal control environment?

*Answer.* The external auditors have not yet completed their assessment of Momentum automated controls to provide assurance the system is working efficiently and effectively. This assurance is expected with the completion of the financial statement audit that is currently on-going.

Per the GAO report, the auditors acknowledged that the controls might be better with the implementation of Momentum.

The USCP has also performed several Momentum reviews as part of its internal control Program. These reviews provide assurance that the system is working as designed and that proper segregation of duties and compensating controls exist. GAO did not review these internal reviews.

The USCP will continue to work with GAO and the auditors to ensure Momentum operates as efficiently as possible.

USCP will continue to make Momentum controls a top priority as the Department moves forward with its Internal Control Program.

*Question.* We understand that you recently conducted a user satisfaction survey (customer survey). What are some of the actual concerns highlighted by Momentum users? Going forward, how do you plan to address those concerns?

*Answer.* The USCP implemented the Momentum financial management system in a 12-month period, with few technical implementation issues.

However, with any significant change in business processes, change management and effective communications with users of the system are critical.

Prior to the implementation of Momentum, the USCP operated under a paper-intensive workflow process that required no system input from most of USCP's administrative staff.

Momentum introduced cutting-edge technology that required users, who had never interfaced with a financial management system to enter data, scan documents and provide approval paths for transactions, as well as, verify funds availability within an automated system. This proved to be the biggest challenge to the system implementation.

In order to address these issues, the USCP made a significant investment in training to ensure all users had/have the skill sets required to operate this new technology. We offered a cadre of 21 courses to all users of the system covering the basics of data entry and approval processes prior to implementation, refresher courses after implementation as well as segments on procurement policy and processes, a 2 day course on appropriations law, and a 2 day course on internal controls to ensure that staff had the necessary tools to process transactions appropriately in the system and within the confines of our appropriation and applicable law.

Momentum provides customer access to real-time enhanced reporting and access to data (including real-time budget updates) for users at all levels of the organization via online queries, reporting and accessibility to data.

Momentum supports such internal control principles as segregation of duties and delegation of authority. USCP has strengthened internal controls with the use of automated workflow and on-line approvals. This best business practice has dramatically improved controls, has enabled better management and tracking of our procurement processes and allowed for better requisition tracking and has significantly reduced the paper-intensive processes of the past while improving efficiency.

USCP has now been operating successfully with Momentum for over 17 months. This is the same software utilized at over 80 federal agencies, including several legislative branch agencies.

Inherent with any commercial off-the-shelf package, software issues arise. USCP prioritizes and tracks open issues with the software owner to ensure issues are fixed timely.

Recent surveys of Momentum users completed by USCP indicate that the vast majority of system users indicate that they understand and are able to complete their financial management responsibilities with the Momentum system.

*Question.* USCP developed a 2-year plan to implement a first-ever agencywide internal control program. Is USCP on target with its phased-approach? What are some of the expected and unexpected issues that USCP has encountered?

*Answer.* The Department is on target. According to GAO, USCP has taken some strong first steps. These steps include providing training to a significant number of leaders and managers, developing a Control Environment Assessment, developing a plan/schedule for conducting assessments, engaging an Internal Control Working Group and Review Board in an on-going evaluation of how to improve the process—linking it to other management improvement efforts, and integrating the work into the Business Planning System. This year, we will be spreading the internal controls program throughout the Department, and one of the most important ways we are facilitating that is by incorporating internal controls analysis into the work of the Manpower Study Project. In addition, the USCP participates in the Legislative Branch Financial Managers Council internal controls group to learn and share internal control methodologies with other Legislative Branch agencies.

Following GAO's lead, we used an organizational development approach to implement an internal controls program. This approach (using team leadership, integrating this program with an ongoing management improvement program) helped us overcome the expected issues related to building ownership, commitment, and changing the organizational culture to see internal controls as a tool for application, daily.

Accomplishing such a major change in business process without the funding normally attached for maximizing return on investment was an unexpected issue. The risk for sub-optimizing such a key investment will be greater in the out-years and so we will ensure that the ELS Manpower Study accurately captures the degree of time and expertise required to sustain the progress in decreasing vulnerabilities.

#### SUBCOMMITTEE RECESS

Senator LANDRIEU. If there are no further questions, this subcommittee will stand in recess until April 13 when we'll meet to take testimony on the fiscal year 2008 budget request for the Secretary of the Senate and the Library of Congress.

[Whereupon, at 11:22 a.m., Friday, March 30, the subcommittee was recessed, to reconvene subject to the call of the Chair.]